DOCUMENT RESUME

ED 397 688 FL 024 015

AUTHOR	Hasan, Ruqaiya, Ed.
TITLE	Discourse on Discourse. Workshop Reports from the Macquarie Workshop on Discourse Analysis (Sydney, New South Wales, Australia, February 21-25, 1983). Occasional Papers Number 7.
INSTITUTION	Applied Linguistics Association of Australia.
REPORT NO	ISBN-0-95967-69-6-1; ISSN-0314-3937
PUB DATE	85
NOTE	109p.
AVAILABLE FROM	Applied Linguistics Association of Australia, Centre for Language Learning and Teaching, University of Southern Queensland, Toowoomba, Queensland, 4350, Australia.
PUB TYPE	Viewpoints (Opinion/Position Papers, Essays, etc.) (120) -- Collected Works - Conference Proceedings (021)
EDRS PRICE	MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS	*Classroom Communication; *Discourse Analysis; Expository Writing; Foreign Countries; *Literary Devices; *Oral Language; Speech Acts; *Teacher Workshops; Workshops; Writing (Composition); *Written Language
IDENTIFIERS	English (Australian); Greene (Graham)

ABSTRACT

Four group summary papers from an Australian national workshop on discourse analysis discuss verbal and written discourse and the classroom. Papers reflect the four workshop discussion groups of casual conversation, classroom discourse, expository discourse, and literary narrative. They include: "On Casual Conversation" (M. A. K. Halliday and G. Plum); "A Knock on the Door: An Analysis of Classroom Discourse" (R. F. Walker, F. Christie, B. Horvath, J. Rothery, and M. MacCausland); "On the Analysis of Exposition" (J. R. Martin, and P. Peters); and "Discourse Structures in Literary Narrative: Examples from Graham Greene's 'Jubilee': (D. G. Butt and L. M. O'Toole). Each paper addresses the issue from a theoretical and practical viewpoint, using real-world examples, and offers suggestions and implications to the field. Workshop participants and the workshop schedule are included. (Contains 34 references.) (NAV)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED 397 688

Applied Linguistics Association of Australia

Discourse on Discourse

Edited by
Ruqaiya Hasan

PERMISSION TO REPRODUCE AND
DISSEMINATE THIS MATERIAL
IN OTHER THAN PAPER COPY
HAS BEEN GRANTED BY
Anthony J
Liddicoat
TO THE EDUCATIONAL RESOURCES
INFORMATION CENTER (ERIC)

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION
CENTER (ERIC)
This document has been reproduced as
received from the person or organization
originating it.
☐ Minor changes have been made to
improve reproduction quality.
• Points of view or opinions stated in this
document do not necessarily represent
official OERI position or policy.

Occasional Papers Number 7

FL024015

BEST COPY AVAILABLE

Applied Linguistics Association of Australia

Discourse on Discourse

Workshop Reports
from

The Macquarie Workshop on Discourse Analysis

February 21-25, 1983

Introduced and edited
by
Ruqaiya Hasan
Macquarie University

Occasional Papers Number 7

APPLIED LINGUISTICS ASSOCIATION OF AUSTRALIA
1985

Discourse on Discourse
ISBN 0 95967 69 6 1

© 1985 Applied Linguistics Association of Australia
Distribution Centre:
Mr. B. McCarthy
Department of European Languages
University of Wollongong
Wollongong, NSW 2500, Australia

Discourse on Discourse

Introduction:	Ruqaiya Hasan	5
Chapter One:	On Casual Conversation M A K Halliday & G Plum	15
Chapter Two:	A Knock on the Door: An analysis of classroom discourse. R F Walker, F Christie, B Horvath, J Rothery & M MacCausland	33
Chapter Three:	On the Analysis of Exposition J R Martin & P Peters	61
Chapter Four:	Discourse Structures in Literary Narrative: Examples from Graham Greene's "Jubilee" D G Butt & L M O'Toole	93
Bibliography:		106

INTRODUCTION

1. The beginning: general prologue

The publication of these workshop reports by ALAA appears to be an appropriate ending to a workshop the story of which began during the VIth Annual Congress of ALAA in a casual conversation with Peter Prescott and Katina Walker of the British Council. This conversation wandered, as Halliday & Plum (Ch 1; p20) indicate that casual conversation always does; but, as always, the wandering created something, namely, the idea that I might explore the possibility of applying for funds to the Head Office of the British Council in London to finance the visit of a distinguished scholar. In carrying out this plan, I received valuable assistance from Katina Walker, without which the thing would have been difficult if not a 'misfire'. The successful performance of a speech act takes so much more in real life than simply averring or, in this case, applying — it always turns out to be a cooperative venture. For the success of this cooperative venture, my thanks are due, first of all, to Peter Prescott, Katina Walker and the British Council for funding the project.

With interest in discourse analysis growing by the hour, it seemed appropriate to invite Professor J McH Sinclair of Birmingham University (U K), whose work in the area is internationally known. I am grateful that, despite his many commitments, Professor Sinclair accepted this invitation. His plenary talks were attended by many and provided a stimulating basis for the development of discussion. Apart from giving these talks, he visited each of the workshop groups; and the catholicity of his interests as well as his readiness to help clarify many of the issues, were appreciated by all. I take this opportunity to thank him once again on behalf of all the participants.

The idea of a national workshop was attractive, as I was aware that a good deal of work in the area of discourse analysis was being carried out at the various Australian campuses, though the insights of these individual researches had never been pooled together for want of a suitable occasion for intensive exchange. The visit of a distinguished scholar furnished an opportunity for bringing the interested parties together. And the best method of achieving a balance between gaining from the experience of a visiting scholar and exchanging ideas about frameworks for the analysis of discourse appeared to be a workshop, which would begin with plenary addresses and continue on to the practical analyses of discourse data.

Macquarie Workshop on Discourse Analysis ran for the five days from February 21-25, 1983, at the School of English & Linguistics, Macquarie University. There were participants from every state and territory, except ACT. The list of the registered participants and a copy of the working schedule for the workshop is produced below.

List of Participants

Visiting Director	Professor J. McH. Sinclair University of Birmingham (UK)
Organizer	Dr Ruqaiya Hasan Macquarie University (NSW)

Assistants	Ms Linda Gerot (Macquarie University)
	Mr David Butt (Macquarie University)
Prof. J. Anderson	Education, Flinders University SA
Ms E. Armstrong	Eng & Linguistics, Macquarie Univ., NSW
Ms T. Ashforth	Gooseberry Hill, Western Australia
Mr P. Bell	Eng & Linguistics, Macquarie Univ., NSW
Mr R. Borel de Bitche	Armidale CAE, Armidale, NSW
Ms F. Christie	Education, Deakin Univ., Victoria
Ms C. Cloran	Eng & Linguistics, Macquarie Univ., NSW
Assoc. Prof. M. Clyne	German, Monash Univ., Victoria
Mr P. Collins	English, University of NSW, NSW
Mr D. Courts	English, Churchlands CAE, WA
Assoc. Prof. R. D. Eagleson	English, Sydney Univ., NSW
Dr C. Fernando	Eng & Linguistics, Macquarie Univ., NSW
Ms H. Fraser	Eng & Linguistics, Macquarie Univ., NSW
Mr M. Gilhotra	Linguistics, Univ. of Newcastle, NSW
Mr W. Green	Education, Murdoch Univ., WA
Prof. M.A.K. Halliday	Linguistics, Sydney Univ., NSW
Dr B. Horvath	Linguistics, Sydney Univ., NSW
Mr L. G. Ingram	English, Kuring Gai CAE, NSW
Ms R. Khoo	Human Communication, Murdoch Univ., WA
Dr G. Kress	South Australian CAE, SA
Mr R. MacLean	Education, Deakin Univ., Victoria
Mr M. McCausland	Teacher Education, Tasmania CAE, TAS
Mr W. McGregor	Fitzroy Crossing, Western Australia
Mrs Y. Maley	Eng & Linguistics, Macquarie Univ., NSW
Dr J. R. Martin	Linguistics, Sydney Univ., NSW
Mrs J. Nelson	Languages and Multicultural Centre, SA
Mr H. Nicholas	German, Monash Univ., Victoria
Prof. L. M. O'Toole	Human Communication, Murdoch Univ., WA
Mrs P. Peters	Eng & Linguistics, Macquarie Univ., NSW
Mr G. Plum	Linguistics, Sydney Univ., NSW
Ms C. Poynton	Linguistics, Sydney Univ., NSW
Ms P. Price	Special Education, Macquarie Univ., NSW
Mrs J. Rothery	Linguistics, Sydney Univ., NSW
Ms B. Sayers	S.I.L., Northern Territory
Ms J. Smith	Brisbane CAE, Mt Gravatt, QLD
Mr R. Spence	Linguistics, Sydney Univ., NSW
Assoc. Prof. R. Steele	French, Sydney Univ., NSW
Mr T. Van Leeuwen	Eng & Linguistics, Macquarie Univ., NSW
Ms E. Ventola	Linguistics, Sydney Univ., NSW
Dr R. F. Walker	Brisbane CAE, Mt Gravatt, QLD
Dr N. Witton	Modern Languages, Macquarie Univ., NSW

Workshop Schedule

Day	9:15 10:45	10:45 11:15	11:15 12:15	12:15 1:30	1:30 3:30	3:30 4:00	4:00 5:15
Mon	Plenary Prof J McH Sinclair W6B 282	COFFEE W6A 420	discussion arising from Plenary talk Chair: Ross Steele	LUNCH Dunmore Lang College	Workshop sessions W6B 282 W6A 109 112 325	TEA W6A 420	Workshop
Tue	Plenary Dr J Martin		as above Chair: R D Eagleson		as above		as above
Wed	Plenary Prof J McH Sinclair		as above Chair: M Halliday		*** (see		*** below)
Thur	Workshop		Workshop		Workshop		groups prepare their final report
Fri	Presentation of reports by Workshop Groups Chair: Ross Steele		Discussion of reports		1:30/2:30 Prof J McH Sinclair summing up 2:30/3:30 open forum discussion		Concluding remarks R. Hasan

*** On **Wednesday:** the workshop groups will present an interim report. The program from 1:30 will be as follows:

1:30-3:00 workshop: practical analysis
3:00-3:30 tea break
3:30-5:15 interim workshop reports and comments

My thanks are due to the Vice-Chancellor of Macquarie University, Professor Emeritus Edwin C Webb, who welcomed the participants to the workshop, and took a personal interest in its proceedings. Associate Professor Elizabeth M Liggins, Head of the School of English & Linguistics, and Professor Arthur Delbridge, through their kind support, made many resources available without which the workshop could not have succeeded.

The organization of a workshop demands a good deal of time and attention to details. In meeting these demands, I was assisted by Linda Gerot and David Butt. If the workshop appeared to run effortlessly, a large part of the credit goes to them. During the workshop, the support of my colleagues and students proved invaluable. It is not possible to thank everyone personally, but a special note of thanks is due to Pam Peters, Yon Maley, Helen Fraser and Carmel Cloran.

2. The workshop groups: special prologue

On the basis of the initial canvassing of opinions from the prospective participants, four workshop groups were established. Participants assigned themselves to whichever group they were most attracted to; there were no restrictions on moving from one group to another, but as it happened, most participants found themselves deeply involved in the work of their own group and were content to learn about the others during the workshop report sessions.

Each workshop group was guided by a Convener, who was assisted by a Co-convener in its organization. These were as follows:

1: Casual conversation	Convener	M A K Halliday
	Co-convener	Guenter Plum
2: Classroom discourse	Convener	R F Walker
	Co-convener	Francis Christie
3: Expository discourse	Convener	J R Martin
	Co-convener	Pam Peters
4: Literary narrative	Convener	L M O'Toole
	Co-convener	David Butt

In a very real sense the reports presented on the final day of the workshop represented the joint work of each group as a whole. In the preparation of the written report, some conveners received more specific input from the members of their group; those who provided such written input are indicated by a star against their name at the head of each chapter, where the membership of the groups is also indicated.

More than half the total time was spent in the workshop sessions (18 out of a total of 33 hours; see workshop schedule above); and a substantial amount of time was allowed for the discussion of plenary talks, which were given by Professor Sinclair (Monday; Wednesday) and by Jim Martin (Tuesday). The present volume contains only the report of each of the workshop groups. However, in following these reports, the reader will note the interplay between the theoretical frameworks presented and discussed in the early part of the day and their application to the analysis of the data in the latter half. The workshop sessions presented a natural occasion for the testing of theories by practice. This was all the more true because of the intense cooperative effort at analysis; for cooperation imposes the explicitness of descriptive categories as an essential requirement.

3. The middle: The workshop reports

The order in which the reports are arranged in this volume is not fortuitous. All use of language can be viewed as interaction, in the sense that it implicates some addressee(s). Interaction can be paraphrased as 'participation in the process of discourse'. The participatory aspect of discourse forms the very nub of language as a system of communication. But within this general requirement of participation, the degree to which the process of discourse is actively shared by the participants is variable. It is this variation that governs the order of the chapters here.

Casual conversation allows the maximum of process-sharing, where the participants are capable of affecting the direction of the discourse. The very fact of their co-presence within the same material situational setting becomes a

significant factor in furthering the sharing of the discourse. It would, however, be a mistake to allow co-presence a status that overrides those social factors which give presences their meanings. Halliday & Plum establish a cline (see figure 1.1, p19), with the endpoints labelled 'person-oriented' and 'task-oriented'. This draws attention to one of the important factors.

The motives behind human actions are not always consciously recognized, even by those who participate in the acts. Only those motives get usually referred to as goal/purpose, which are normally short-term and are capable of being achieved in a predictable series of activities. The prime example of this type is service encounter. Such activities are in contrast to those which have a long-term goal/purpose. We are often oblivious of the existence of such long-term goals/purposes, even while we engage in activities which lead to the achievement of such goals. Casual conversation is a case in point. It is 'person-oriented', in the sense that we are not aware of the job that it is doing while it is doing it — namely, the creation of social solidarity. Conversation wanders because the direct manoeuvering of personal relationships presents a paradox in our culture; its cooperative development is a metaphor for social reciprocity.

This has implications for the roles of the participants. Again, Halliday & Plum present a cline that intersects their cline of person-oriented and task-oriented. The terms of this intersecting cline are 'dialogue' and 'monologue' (see fig. 1.1, p19). A dialogue is most characteristically achieved in the environment of social reciprocity: casual conversation is at its most casual where the roles are non-hierarchic. The low visibility of its long-term goals and the nonhierarchic nature of its participants, characteristic of the genre of casual conversation, give it a specific semiotic value. To have a 'nice long chat' with someone is to be friendly with them. Through its characteristic attributes, casual conversation creates the semblance of a particular kind of social relationship, where none might have existed before. And yet 'semblance' might be the wrong word, for it is precisely such semblances repeated over many occasions that create acquaintanceship and friendship, both of which are **real** social relationships.

The principle of social reciprocity, dominating the act of casual conversation, produces a maximally hospitable environment for the process sharing of the act of talk. At one level, then, casual conversation has neither topic control, nor specific social status differentiation, nor explicit modes of turn assignment, as Halliday and Plum point out (p20). A significant substantiation is provided by Cloran's empirical research which shows that the assuming of topic control by one of the participants in casual conversation is seen by others as a contravention of the 'mores' of this genre (Cloran: 1982). Casual conversation, then displays maximum of process-sharing potential for all participants.

This genre contrasts with classroom interaction in important ways. Christie's analysis (Ch 2; pp38-42) shows that here both a long-term and a short-term goal are operative, and the shape of the discourse is responsive to both. Horvath (p43-8) and MacCausland (p52-5) indicate the explicit modes of turn control; and the general topic control is firmly in the hands of the teacher, who in Horvath's analysis of the various Segments is shown to lay down the ground rules for participation in discourse. Such control is indicative of a significant difference in the social roles of the participants, when compared with casual conversation. Together, these factors delimit, without completely controlling the process-sharing potential of the pupils.

It is interesting to note that the pupils' sharing of the discourse falls into two general categories: (i) those which, from the point of view of the teacher, call for explanation and elaboration; and (ii) those which, again from the teacher's point of view, call for alteration. The former are responses to the requirements that the teacher has explicitly laid down. These have mostly to do with the short term goal of **this** lesson — i.e., to get the children to produce a written story. The second category is comprised of pupils' responses to requirements that have not been made explicit. Walker (p58) draws attention to the 'scary' element of the setting for the story, which is left implicit. However, the teacher makes an effort to alter the choice of parents/cousins as the callers, precisely because these choices eliminate the 'scariness' element. The largest number of responses in this category are those which contravene the long term implicit goals to which Christie draws attention. The attempts to control pupil turns arise largely from the need for an orderly working of the lesson, which is one in a series. Its disruption by a free for all participation would hamper the achievement of the long term goal of 'taking' the class through a series of predetermined activities. The pupils are, of course, unaware of this larger frame. Again, the attempt to make each pupil choose a unique beginning, middle and ending to their story too has similar origins, and relates to our ideology of education as the facilitator of the growth of unique individualities. Thus the process sharing potential of the pupils is subject to both the explicit and the implicit requirements, arising from both the short term and long term goals of the activity. If it is true that in a conversation you are never free to say just what you like, this observation is truer still of classroom interaction.

In his plenary addresses Professor Sinclair talked about discourse as "the negotiation of meaning". Although Rothery's analysis (pp49-51) covers only a small part of the text, it is obvious that the rather vague use of the phrase "negotiation of meaning" is capable of being given a more definite sense. The meanings of a language are the artefact of the lexicogrammar of that language; the negotiation of meaning depends essentially upon the sharing of the lexicogrammatical systems. Even allowing for extreme idiosyncracy — or the romantic notion of a totally unique individuality — to understand someone entails an insight into how their (unique, idiosyncratic) sign system is organized. In this sense, the sharing of discourse — the negotiation of meaning — implies the creation of a public system of communication, and, hence, of social selves. Language by its very nature counteracts against the boundaries between unique minds; to understand someone's meaning is to overcome — at least partly — the physical separation of the other.

This argues for a linguistics which is essentially "a quest for meaning", as Whorf put it. We need a model for the description of linguistic patterns, the categories of which are sensitive to meanings, and through meanings, to the social environment, which too is constructed through our semiotic systems, as Jim Martin argued in his plenary address. Rothery employs the categories of linguistic description from Halliday (1985) and her analysis shows the promise that such description carries in making explicit the linguistic resources whereby meanings are negotiated. For a full model of the text's linguistic structure, toward which Horvath's analysis was striving, the reader is invited to see the Appendix in Halliday (1985).

BEST COPY AVAILABLE

But what of written discourse? Is there any sharing of the process of discourse between the reader and the writer? Martin and Peters' analysis answers this question by implication. The degree to which the reader of a written discourse can act upon its shape is, from one point of view, even more limited than the role of the pupil in the classroom interaction.

However, this generalization applies to the local properties of individual discourses, not, for example, to the genre of exposition or narration as a whole. Martin points out clearly the linguistic characterics of texts belonging to the two genres (see Table 3.1, p62). It is, then, as if the writer were writing against a background of what reader expectations and reader perceptions of the different forms of writing are. And, of course, apart from this, the conception of the projected reader — not as this particular reader, but as this type of reader — plays an active role in the shaping of, particularly, the expository discourse. This can be seen clearly, for example, from a comparison of an exposition on "atoms" for the upper primary pupil as opposed to that on the same subject for the University student. What is particularly striking is the manner in which the participatory aspect of the written discourse, through the writer's conception of the intended reader, acts upon the experiential meanings of the discourse. I see this strand of the meaning of discourse as closest to Professor Sinclair's "autonomous plane" of discourse.

Martin's analysis of text 3.7 makes a substantial contribution to the notion of negotiation of meaning, by demonstrating how the shared meanings are made accessible, and how the description of this aspect of the text need not hide behind vague, impressionistic formulations. Apart from this, his analysis lays bare the large scale (sub-)communal assumptions which form the infra-structure of any form of social activity. In the analysis of the ideological stance of the writer (see Ch 3; section 6), Martin shows how the 'unconscious' use of linguistic patterns — Whorf's 'fashions of speaking' — maintain and affirm partisan views. In a sense, to engage in a discourse is to take a stance; the explicit linguistic analysis of the stance adopted can, however, be a salutory experience, particularly when it shows our unwitting subscription to beliefs which run counter to our self-consciously held 'approved' beliefs.

The need for the understanding of the nature of expository discourse is urgent, since across the system of education, this is, without doubt, the most used genre. Peters, in her part of the contribution, draws attention to a tentative classification of types of exposition (see fig. 3.5, p88). Her discussion of text 3.7, brief though it is, provides further insight into why the text is valued as it is. However, the general picture of the expository discourse as possessing a tripartite structure — introduction, body and conclusion — is greatly in need of elaboration, and Peters' discussion of the factors that appear relevant to highly regarded expository texts provides some indication of the direction in which research in the area can move. I regret that due to lack of space, I had to compress a large part of the rich report from this workshop group.

If the reader acts only indirectly upon the shaping of an expository discourse, in a literary narrative, the role of the reader as an active participant is commonly perceived as negligible: literature texts are often viewed as "self enclosed", as Butt and O'Toole point out (p93). However as the analysis continues it becomes obvious that this self-enclosedness is of a very specific kind. The literature text creates its own world, on its own terms; but the interpretation of that world —

the reader's contact with the discourse — demands a reference to the text external world — the social context within which the text is produced and the social context within which it is read. Butt & O'Toole show this, for example, by linking Graham Greene's Jubilee to the notion of imperialism (p93), and to the rich multi-faceted meanings of the word *jubilee*, which reverberate in the many scenes and episodes of the story; and by commenting on the meaning of Mr Chalfont's 'housewifely' acts in a social milieu, that gives it a rather different significance from that the acts might have in the present social context (p98).

Butt & O'Toole's report is interesting in its insistence on the continuities between the analyses of discourse in all genres — a theme that Professor Sinclair had approached from another angle in his second plenary address, where he attempted to show that at a high level of abstraction, the relation between the messages of discourse is of the same kind. The problem with this approach, as Halliday & Plum argue (see p23-5), is that the high degree of generalization renders the categories both difficult to apply and hard to relate to those meaningful distinctions that are crucial to the working of the text. Butt and O'Toole argue that, in similarly general terms, the notion of rise-fall can be used to describe the overall structural shape of discourse in every genre. In fact, they imply that the rhythmic cycle of activities is an inherent property of all human actions (p97). These suggestions about the universal properties of discourse are a reminder that in the search for specific identities of genres, the features of their commonality should not be over-looked. The suggestion thus opens up an area of research, since an understanding of both the specific properties of a genre and of the commonalities across genres is essential to our understanding of how discourse works.

Moving from this general plane, the report also shows that the notion of negotiation of meaning, with the implications pointed out above, is applicable to a literature text, no less than it is to texts of other genres. The "integration of linguistic description" which Professor Sinclair's recent work is most concerned with appears to us to be achieved through the use of a function oriented description of language which can demonstrate the basis for interpretation. If the purpose of a literature text is to "secure from its readers a complex, evaluative interpretation" (Sinclair: mimeo), then a semantically sensitive description of linguistic patterns will go a long way toward the achievement of this goal, for at least at one level in literature texts, there is "no difference in the language used in or available to speakers or writers" of literature or non-literature (Sinclair: 1982). The evaluation of the discourse of any variety is dependent upon the ability to interpret it; and the basis for this is essentially a non-ad hoc relating of the systems of meaning and wording. I see Butt & O'Toole's effort to analyse the sentence encapsulating Greene's Jubilee (pp101-4) as a demonstration that a large scale linguistic analysis of the story would have highlighted precisely these kinds of meanings in the story, though certainly in a more elaborate, more metaphorical manner.

With the consideration of the literature text, then, we reach the other end of the continuum of process sharing in the construction of discourse. It is by now an axiom that literature texts are 'autonomous' artefacts; this is indicative of the widely held belief that the participatory role of the reader in the shaping of the text is near-minimal in this genre. The curious fact is that despite this important difference between casual conversation and literature, the two share some

common attributes. For example, it is nearly impossible to predict the range of topics for casual conversation, just as it is nearly impossible to predict the range of episodes, states of affairs etc., that might be mentioned in a literature text. And, again, in casual conversation, the specific topics selected are less relevant than is the fact of their cooperative development, while in literature, the particular episodes, states of affairs, etc., are less crucial by their identity than they are through the internal rapport established by the patterns of discourse. Might this be because, in one respect, casual conversation and literature are alike: both function as extended metaphors. While a literature text is a metaphor for some general hypothesis about the social life of some community, casual conversation is a metaphor for the quality of the participants' social relationship to each other.

4. The ending: concluding remarks

Many of the important considerations in discourse analysis are mentioned or implied in the reports presented here. The centrality of discourse analysis for the understanding of language as a sign system appears undeniable to me. Language possesses a facticity which is characteristic of most social institutions; individuals are born into communities where language as an operative system is a taken for granted fact. This tends to obscure an important fact about language which forms the basis of its social nature.

The signs of a language are arbitrary; there is no natural reason that *cup* should mean 'cup', or that a certain arrangement of elements should mean 'assertion'. This arbitrariness is "made safe" for practical use through the systematicity internal to language and through the systematicity of its relation to the context of situation. The arbitrary sign can become currency for communal exchange of meaning only because of these two types of systematicity, which are, in fact, two aspects of the same phenomenon, as J R Firth claimed. They are much more closely linked than most modern linguists have been willing to recognize. The systems of language develop through use, not only in the life of an individual, but also in the life of a culture. And language in use IS discourse. It is through discourse that the systems of language are developed, maintained and changed. And it is through the workings of discourse that arbitrary signs achieve their meanings. Meanings are not physical objects sitting out there to be called by 'names'; they are the creation of the speech community who through their systematic behaviour imbue an essentially meaningless substance with some significance. The imperative for this systematic behaviour does not arise from our individuality; it arises from our sociality — from the need for exchange of meanings. The social process of discourse is the architect of the system of language.

From this point of view then language is not a system fashioned once for all and buried into the folds of the human brain. Whatever aspect of it we examine, it is essential to keep in mind this constant interaction — this dialectic — between language as process and language as system. The processual nature of language is firmly embedded in the social life of its speech community. These considerations seem to point towards the development of a model for discourse analysis which integrates the notion of social context — the inherently social and creative nature of human communication — into the description of linguistic structures. The descriptive model of language needs to be such that it would permit the viewing of discourse as a meaningful event in the life of the community, and at the same

time, allow a systematic description of the role of its messages in the creation of this meaningful event as a whole. The communicative function of a message in discourse — its speech act value — does not arise simply from *I aver, I promise* — as Austin himself pointed out; it derives from the cumulative operation of several strands of meaning, some non-verbal, and some created by the sign system of language because the sign system is, by definition, social. The universals and the specifics of discourse analysis can be more easily formulated from a view of language as social semiotic.

CHAPTER ONE

ON CASUAL CONVERSATION

*M A K Halliday (Convener)
*G Plum (Co-convener)
E Armstrong
T Ashforth
*C Cloran
P Collins
H Fraser
*H Nicholas
*C Poynton
*R Steele
*E Ventola

Preamble

The plan of this report follows the plan of the workshop itself, which we organized around a sequence of topics each with one member of the group as rapporteur. All members of the group participated in the discussions; the rapporteur led off the discussion, and then with the help of the tape recording prepared a verbal report for the final session. Some of these were then further elaborated by the rapporteurs and passed on to me in the written form; others were transcribed from the tapes. I have edited them into the present version, compressing for reasons of space; for the same reason most of the textual analysis done by the group has had to be left out. The rapporteurs and their topics are listed below in the order in which the topic is also presented in this report.

1. Presentation of casual conversation	Helen Fraser
2. Casual conversation in relation to a general model of speech activity	Cate Poynton
3. Casual conversation as register (text type) and genre	Guenter Plum
4. The application of Sinclair's triadic model to casual conversation	Howard Nicholas
5. A dynamic representation of casual conversation	Ross Steele & Eija Ventola
6. Casual conversation and Sinclair's concept of 'plane change'	Peter Collins
7. A grammar for casual conversation?	M A K Halliday

1. Presentation of casual conversation

Casual conversation is the most difficult kind of discourse to put on display. First, because it is spoken, and to represent speech in writing can never be wholly satisfactory. Secondly, because of all kinds of speech casual conversation is the one that is most different from written language; hence the distortion that takes place when it is translated is correspondingly greater than with other spoken forms.

Converting speech to written text is a kind of translation in which something is bound to be lost: it is significant that we talk about 'reducing' a language to writing. Less obviously, perhaps, something is also gained: the written medium introduces extraneous features that are not part of spoken discourse. If one tries to avoid these, one simply ends up by importing other properties into the written code. For example, we can leave out punctuation; but then either we present the text in a continuous string, or we have to introduce some other convention — such as measuring the length of pauses; and this imposes a simple-minded pattern of its own that corresponds to nothing in speech that is meaningful.

There is no such thing as a 'neutral' transcription of casual conversation. We have to decide **how** we want to transcribe it on the basis of **why** we want to transcribe it: what is the purpose in view? Let us enumerate some of the purposes for which **conversation** may be transcribed. In doing this we shall certainly be taking account of kinds of conversation which are not casual; but it is impossible to draw this line very exactly, and in any case in considering transcription we need to ask whether casual conversation imposes any special requirements precisely because it **is** casual.

	Purpose of analysis and transcription	**Type of conversation**
A.	Professional contexts	
	(1) Educational	
	— material for foreign language teaching	(according to learner's needs)
	— educational research	classroom discourse; other learning contexts
	(2) Medical	
	— clinical purposes	disordered speech (aphasic, schizophrenic etc.)
	— medical education	doctor-patient consultations
	(3) Forensic	
	— forensic purposes	evidential conversations
	— legal studies	court transcripts
	(4) Interpreting	
	— interpreter training	(various registers)
B.	Linguistic (research) contexts	
	(1) semantics, grammar and vocabulary, phonology (intonation, etc.)	casual conversation
	(2) social variation in language	casual conversation; interviews, etc.
	(3) functional variation (register)	(various registers)
	(4) language development	children's conversation; child-adult conversation
	(5) verbal management of interpersonal relationships	casual conversation; 'games'
	(6) transactional encounters	transactional (and casual) conversation
	(7) construction of reality	casual conversation; informative/instructional conversation

Partly determined by these considerations, but also partly independent of them, is the question of where the main focus of interest lies:

(i) the linguistic system: phonology (intonation & rhythm, articulation) and paraphonology (voice quality, etc.); lexicogrammar (syntax, morphology, grammar); semantics and discourse structure;

(ii) the ideational meaning: the text as representation of phenomena of the speakers' and listeners' experience;

(iii) the interpersonal meaning: the text as interaction, whereby speakers and listeners achieve social goals.

What sort of features may we wish to incorporate in a transcription? Without attempting to be exhaustive, we can summarize the main possibilities. For practical purposes, the total range (from which we should be selecting according to purpose and focus) might be set out as follows:

(1) Phonological and paraphonological

articulation (vowels and consonants)
intonation and rhythm
voice quality ('phonation')
pausing
tempo, loudness
gaze, gesture, proximity

(2) Non-coded or unsystematic features

allegro forms (elisions, contractions)
interruption and overlapping
hesitations
self-corrections
stutterings, stammerings

(3) Contextual commentary

(any relevant accompanying actions, events, objects, etc.)

There is no one 'best way' of transcribing conversation, nor is there any ideal 'objective' version which incorporates just what was spoken and nothing else. All transcription involves interpreting and selecting. There is no such thing as a 'faithful' rendering, in isolation from the particular purpose. But there are a few general principles and practices that turn out to be helpful.

Perhaps the most important guiding principle is to include only what is necessary. For many purposes an ordinary orthographic transcription, with appropriate punctuation, will give an adequate picture of a spoken text. Some other purposes are best served by a transcription of this kind but with intonation and rhythm fully marked and punctuation left out. Sometimes it is necessary to make particular types of variation explicit in the transcription — an obvious example would be if transcribing a discussion among language students for the group to use as material for self-assessment and improvement. But there is no advantage, for example, in recording every noise of acknowledgement — every *mm* put in by the listener, showing its exact point in the stream of speech — unless there is reason for drawing attention to that particular feature.

There are two opposing pitfalls in transcribing casual conversation: normalizing, and exoticizing. It is often difficult for a transcriber to understand

that it is important to retain the wording exactly as it is; and even if one is convinced that this is the target to be aimed at it is not easy to carry it out in practice. Many people working from tape recordings will unconsciously normalize what is on the tape, making it conform to their expectations of what was to come or their judgments about what forms it ought properly to take.

The other, more insidious danger is that of exoticizing the text, making it look as deviant as possible from traditional written forms. A great deal of transcription of casual conversation is designed to display it as 'odd', as being disorganized, incoherent and fragmentary; and this is achieved by putting in every hesitation noise, every change of direction and verbal crossing out, every channel cue, interruption and overlap of turns. This has helped to maintain the traditional belief in the superiority of written discourse. It is rather as if one was to publish as written text an author's working draft, with all its vagaries of handwriting or mistypings, its insertions and corrections and reorderings, and then point to this as a specimen of what written language is like. It does not help us to understand conversation, or to appreciate the fundamental part it plays in human learning, as well as in the essential encounters of daily life, if we stereotype it as something ineffectual and quaint. (And the result is likely to be extremely boring to read, whereas the conversation itself may have been highly entertaining to listen to.)

One of the functions of a transcription is to present conversational data in a form that others can use. A difficulty with many notations is that, while one may be able to follow the writer's arguments and check what he has to say about the data, it is not possible to use his data for one's own particular purposes. It usually turns out that there is too much information of one kind and not enough of another. ('Conversational analysis' notation, for example, contains a vast amount of detail relevant to turn-taking; but does not enable one to reconstruct the intonation patterns.) There is much to be said for providing a straightforward orthographic rendering with modified punctuation (and a key to its interpretation), whether or not one also provides a more esoteric form of transcription,to serve some specialized analytic purpose.

The following are some of the transcription systems currently in use for conversational English:

(a) Survey of English Usage system:
Randolph Quirk & Jan Svartvik, A Corpus of English Conversation. London: Longman, 1980

(b) Birmingham Discourse Analysis system:
J. McH. Sinclair & D. Brazil, Teacher Talk. London: Oxford University Press, 1982

(c) Systemic-functional system:
M. A. K. Halliday, A Course in Spoken English: Intonation. London: Oxford University Press, 1970

(d) Bristol Language Development Study system:
Gordon Wells et al., Learning through Interaction. Cambridge: Cambridge University Press, 1981

(e) Conversational Analysis system:
H. Sacks, E. A. Schegloff & Gail Jefferson, 'A simplest systematics for the analysis of turn-taking for conversation'. Language 50, 1974

(f) Language development notation:
Lois Bloom, Language Development: form and function in emerging grammars. Cambridge, Mass.: M.I.T. Press, 1970

(g) Communication Linguistics system:
Michael Gregory & Karen Malcolm, 'Communication linguistics: a sample analysis'. (see entry in list of references)

(h) B.B.C. Family Recordings system

See also various systems used in Peter French & Margaret Maclure (eds.), Adult-Child Conversation. London: Croom Helm, 1981.

2. Casual conversation in relation to a general model of speech activity

How does conversation relate to other forms of speech activity? We could locate it by means of a diagram such as the following:

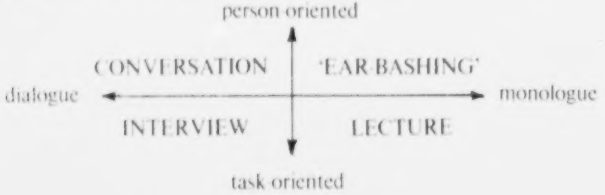


Figure 1.1: Forms of speech activity

This defines conversation as '**PERSON-ORIENTED DIALOGUE**'. The two vectors, which we might label **ORIENTATION** and **ENGAGEMENT**, allow us to relate this by systematic contrast to (i) interview, which is '**TASK-ORIENTED DIALOGUE**,' (ii) lecture, which is 'task-oriented monologue', and (iii) something that seems to have no name although we can all recognize it in practice — the 'conversationalist' talking **at** (as opposed to talking **to**) the other person in an uninterrupted flow (we have called it 'ear-bashing').

These two vectors are continuous, so that, for example, classroom interaction will typically be located somewhere between interview and lecture on the engagement scale. There can be shifts along either scale, with interludes of more monologuic discourse embedded in passages of dialogue, or vice versa. Conversation always implies some reciprocal engagement; this may not necessarily be symmetrical, but casual conversation, at least, embodies the principle of reciprocity among the interactants. It is this potential for mutual engagement between speaker and addressee that most clearly marks off casual conversation in contrast to the structured asymmetry of a formal interview.

One approach to the understanding of casual conversation would be in terms of its **STRUCTURE POTENTIAL** (Hasan, 1979). One might assign it a generalized schematic structure such as:

(Gr) + (Ph.Com.) + (Inf.Ex.) + (Op.Ex) + (L.t)

(Greeting, Phatic Communion, Information Exchange, Opinion Exchange, Leave-taking). There can be interative cycles of the exchange of information and opinion; and none of the elements is obligatory — we simply adopt the convention that **some** element must be present, otherwise there is no conversation

at all. Different sub-genres of conversation may be characterized by different combinations of these elements: for example, a 'casual encounter' may be simply Gr. Ph.Com, a 'friendly chat' can consist of just a sequence of information and/or opinion exchanges. There is no clear paradigmatic boundary defining what is and what is not a casual conversation; but a structural formula such as this suggests that it is not an amorphous mass — it has some organic unity, even if the limiting case is a fragment having just one value in the piece.

Another complementary approach is to view casual conversation as that type of person-oriented dialogue in which certain norms that are characteristic of conversation in general are suspended, or perhaps rather neutralized. These can be summarized by reference to topic, status and turntaking:

(1) There are topics — but no topic control
(2) There are interactants — but no status relations
(3) There are turns — but no turn assignment

These are values, respectively, of **FIELD**, **TENOR** and **MODE**. The field is the activity to which the discourse is contributing; it is not the same thing as topic (this is a common misunderstanding), but it may be manifested partly in the form of topic choice, and the 'field' meaning of *casual* (in 'casual conversation') is that the topic is not controlled by either interactant but can, and typically does, drift as the conversation proceeds. The tenor comprises the status and role relationships among the participants; in relation to tenor, casual is defined as the temporary neutralizing of inequality and distance. The mode is the way the rhetorical channel is organized — basically, in conversation, by turn-taking; and here what defines the conversation as *casual* is the absence of any mechanism for assigning turns. So just as if we look at casual conversation as a form of **DISCOURSE ORGANIZATION** it may be minimally structured but is still not totally unstructured, so when we look at it as a **SITUATION TYPE** it clearly has certain situational features, even though the values these take on tend to follow the principle of least effort — by a kind of tacit consensus, matters are allowed to take their course.

Questions arise of the **PARADIGMATIC** and **SYNTAGMATIC** delimitation of casual conversation: is it a genre in itself, and does it always (or ever) begin and end? Can we, for example, if we view text as process, recognize a progressive kind of conversational text in which the situational features change as it goes along — like a dinner party bringing together people who are unacquainted but who increasingly get to know each other, using casual conversation as the principal means for this to happen? Can there be casual conversation embedded in other types of discourse in which the register variables are subject to control; e.g., the 'setting at ease' type of interlude in a structured context like a session with doctor or bank manager? To what extent is casual conversation a recognizable register or text type? Some of the issues raised by questions of this kind will be discussed in the next section.

3. Casual conversation as register (text type) and genre

In order to clarify further the concept of casual conversation, we may follow Martin in distinguishing between **REGISTER** and **GENRE**. Martin (in press) defines a genre as a 'linguistically realized activity type' and refers to the 'verbal strategies' which are the 'stages through which one moves in order to realize a genre'. In Martin's interpretation the genre is defined non-verbally, as an activity type, to which the register, or text type, stands in the role of **REALIZATION**.

In this relationship, there are instances where the text is so directly related to the activity that the distinction between register and genre seems unnecessary; for example, an event consisting of an exchange of goods & services, in which the text is minimal and is also directly furthering the exchange. In other instances, however, there are passages of text which seem to suspend the accomplishing of the activity in question; and this makes it necessary to postulate the text type and the activity type as different abstractions. In a service encounter, for example, these intruded texts range from the kind which are clearly functional though in an indirect way, like the greengrocer's description of an unfamiliar vegetable on display, to those which seem irrelevant or even dysfunctional, such as the customer's narrative of a recently observed event.

'Sub-texts' of this kind are not unstructured; they will be describable in terms of functionally motivated elements of structure in exactly the same way as if they had been complete texts in their own right. In a sociolinguistic interview, for example, provided the interviewer gives his informant the opportunity to develop her response to a question beyond some minimal length, she will probably include within that response some portion of text which can be readily described as a narrative, with whatever framework of description is being used for narrative as a generalized text type. In relation to the 'outer' text within which these occur, they can be explained as embeddings; given the sort of rank scale that is used in discourse analysis by Sinclair and Coulthard (1975), for example, there is no difficulty in the conception of a unit of text which is 'rankshifted' down the scale so as to function as a constituent of some other, lower-ranking element.

In relation to the overall activity, however, the existence of intrusive text material of this kind suggests that it is useful to make the distinction between register and genre; the genre (activity type) being the culturally possible combination of specific values of field, tenor and mode (**CONTEXTUAL CONFIGURATION**, in Hasan's terms; cf. Halliday's **SITUATION TYPE**), and the register (text type) being the verbal strategies used to realize such a combination.

At the level of the text, Halliday (1975) has suggested that the fundamental opposition is that between the exchange of information and the exchange of goods & services. At the higher stratum, that of the activity, we could also consider all activity types to be forms of exchange. Thus for example classroom interaction is a teaching/learning exchange; professional consultations are advice-seeking/giving exchanges, and so on. If we consider Ventola's **CASUAL ENCOUNTER** (see next section), this would perhaps be interpreted as an exchange of goodwill. Now, an exchange of this kind may be realized by a minimal or near-minimal text consisting of (say) Greeting + Approach + Leave-taking. But there is an important element in the structure potential of such encounters (which Ventola refers to as the **CENTRING** element) which is realized by a piece of text material that constitutes a register or text type in its own right, and which therefore is embedded in the outer text that realizes the casual encounter. This text type we could refer to as chat. To have 'had a chat' with someone implies more than simply a Greeting followed by a Leave-taking.

A chat is not the only possible centring element in a casual encounter; this could be realized alternatively by an embedded narrative or description. Likewise a chat could realize an element in the structure of some other kind of activity, such as a service encounter. But a chat is a typical component in the realization of

a casual encounter, and it is useful to ask whether it has a recognized, and recognizable, structure.

In general, the structure of any text type reflects the fact that discourse takes place in order to get things done. This does not mean that we can always find a pragmatic explanation for every element in a text structure; to expect this would be to fall into the trap of seeing discourse simply as the 'reflection' of reality rather than as an essential element in reality construction. But most registers display a multivariate structure where each element makes a distinctive contribution towards an organic whole, and the whole structure can be interpreted by reference to the goal-orientation of that particular register. On the other hand, while chat clearly serves a cultural and social purpose it is not goal-oriented in the way that other registers are; it does not 'get anything done'. Hence it does not display a schematic structure of the usual kind.

How then does chat progress? Once it starts, it becomes focussed on topic, with the main coherence being provided by **LEXICAL COHESION**; any development of the text takes the form of finding a new topic. Once a topic is exhausted, the talk proceeds to another one; the same functional element is simply repeated over again. The development is not a progress towards any goal; it is more like treading water — you don't drown, but you don't reach dry land either. Hence where other text types display **MULTIVARIATE** structures, chat is different; it has a **UNIVARIATE** structure. There is only one functional element, and this occurs iteratively. Typically, the relationship is a paratactic one; each new component is simply linked with an 'and'.

This view of the structure of casual conversation is borne out by two analytical approaches: (1) Gregory & Malcolm's 'phasal analysis' using a systemic-functional approach, and (2) Burton's 'discourse framework' based on the Sinclair & Coulthard model. Gregory & Malcolm identify **PHASES** and **TRANSITIONS** in the discourse. "Phase characterizes the stretches of text where there is a significant measure of consistency in what is being selected **IDEATIONALLY, INTERPERSONALLY** and **TEXTUALLY**. Transitions in and out of phases are indicated by changes in choice, from one or more functional components" (1981:8). They make two related points: that casual conversation is produced in situations which are not strongly marked generically, and so do not favour the production of traditionally recognized text types such as narrative; and that only "where there is a highly predictable relationship between generic situation and registerial realization in text, it is possible to postulate 'elements of structure' for the discourse" *(ibid:*36). Thus while they were able to recognize "relatively transparent" phases in the discourse of two small children accompanying their play, where the phases stood in some clearly functional relationship to the context of situation, in a conversation between two adults brought together to "talk to each other about anything they liked" Karen Malcolm found identifying the phases a highly complex analytical task (Malcolm, 1984:16).

Deirdre Burton's **RANK-SCALE** model of casual conversation is a development of Sinclair & Coulthard's description of classroom talk. She posits five ranks: (from the bottom) **ACT, MOVE, EXCHANGE, TRANSACTION, INTERACTION**, based on register-specific interactions of (typically clause-length) utterances inspired by speech act theory. The description becomes compatible with Gregory & Malcolm through the imposition of the concept of **DISCOURSE FRAMEWORK** on the rank of exchange, whereby Burton recognizes that in casual conversation a chunk can be

BEST COPY AVAILABLE

defined by selections made in the systemic **METAFUNCTIONS** (ideational, interpersonal, textual) and that "exchanges can be seen to last as long as this framework holds" (Burton, 1980:70). An exchange, in turn, is the only obligatory element in a transaction, and an interaction consists entirely of a string of unordered transactions. Thus, stripped of its 'speech act' interpretation, the structure of casual conversation as postulated by Deirdre Burton is entirely compatible with that of Gregory & Malcolm and with our own as set out here: it is univariate and paratactic. When the text is chat, then the only structure is one of topic oriented phase (cf. Hasan, in press, on topic in casual conversation).

We can now take up the three features of casual conversation put forward in the preceding section:

(1) there are topics — but no topic control
(2) there are interactants — but no status relations
(3) there are turns — but no turn assignment

These are formulated in negative terms, saying what casual conversation **is not.** Let us add the fourth point that has just been discussed at some length:

(4) there is structure — but it is univariate.

If we put these together we can reconstitute them, so to speak, in a less negative form, showing that casual conversation, or what we are now calling chat, can also be defined by what it **does.** Chat provides for a suspension of normal patterns of social stratification, and of the normal goal-directedness of discourse, by setting up an open-ended interaction that defines its own goals. (Since the only 'goal' is that of "keep going until you want to stop, then stop", it is difficult to carry out the instruction of an investigator who sits two or three people in front of a tape recorder and says to them "Just chat!".)

From the point of view of register and genre, therefore — 'from above', so to speak — it is reasonable to think of casual conversation in positive terms, having properties of its own even though these are in some respects the **UNMARKED** options. We shall see in the final section that when we come to view it 'from below', from a lexicogrammatical stand point, it also emerges clearly as a distinctive and significant form of discourse.

4. The application of Sinclair's triadic model to casual conversation

The elements of structure of the **MOVE** in Sinclair's triadic model of conversation are **POSIT, REACTION, DETERMINATION**. These are generalized elements underlying the conversational structure, which are not necessarily realized as separate segments in the discourse; and in some registers the third element is typically absent. For example in **PHATIC COMMUNION** the Determination is typically not realized, and likewise in ritual greetings:

A:	Hi! How are you?	Po
B:	Fine	Re

— though A could come back with a ritual Determination "Good". In some registers, a Determination would be clearly out-of-place; for example in the case of a pilot doing a pre-flight check.

On the other hand, the Determination may itself be challenged, so that it does not conclude the total speech event:

A:	What's the time?	Po
B:	Ten to nine.	Re
A:	Hang your knickers on the line!	De
B:	You can't say that in this house.	Po
A:	Sorry.	Re
B:	All right, but don't say it again.	De

This has the effect of preserving the linear structure: if the Determination is not challenged, the discourse can proceed. Thus in any particular exchange, the Determination may be interactive and generate new discourse. Note that both Posit and Reaction are obligatory elements; neither of these can be realized as zero.

When we attempt to apply this model to casual conversation, a number of points arise:

(i) In addition to these three elements there are also **FRAMEWORK** elements: boundary markers and focussers, which organize the exchange (cf. *anyrate* in the example below).

(ii) Moves often have two parts, the first selecting from closed sets of items, the second from open sets. (The first part by itself does not constitute a separate move in casual conversation.)

(iii) Elements produced by different speakers may overlap.

(iv) Determination is usually absent when a speaker continues the conversation by changing the topic.

(v) A Determination element may function simultaneously on different levels.

Below are three examples, with suggested interpretations.

(a) Within one speaker's turn:

Anyrate,	Framework
so we went up there	De
and it was a shocking day. Like last Sunday,	Po
yea, typical — yea, if you think of last Sunday —	Re
that was what it was like.	De

Anyrate is a boundary marker with a 'framing' function, outside the Po Re De structure. The first De is associated with the preceding text; and each element is functioning internally within the monologue.

(b) Between adults and child:

Mother: Have you washed your hands?	Po
Aunt: Come. I'll help you.	Re
Child: You want Mummy to help you.	(De/) Po
Aunt: Mummy's busy.	Re

The final turn of the aunt is clearly a Reaction to the child's message, which therefore must be Posit; but at the same time the child's *you want mummy to help you* (you: 'I/me') is a challenge to what precedes and therefore Determination. (But it is doubtful whether Sinclair allows for the same message to be simultaneously Determination, referring back, and Posit, referring forward.)

(c) Between strangers:

A:	Well soon spring will come. The weather will be better.	Po
B:	Oh yes.	Framework
	We'll be complaining about the heat. [laughter]	Re
A:	Really.	(De/) Po
B:	Oh yes, the humidity, you know.	Re
	You haven't been out here long, have you?	Po
A:	No I haven't, no. I haven't experienced the Australian summer yet.	Re

B's *Oh yes* cannot be considered Reaction because it does not interrupt the flow of A's talk; it is a framing element which maintains the conversation. A's *really* is a challenge, and raises the same question as in the preceding text: it must be a new Posit, but should be Determination as well. B's *you haven't been out here long* cannot however be a Determination, because it introduces a change of topic.

There are bound to be difficulties in the application of anything that is offered as a general model for all kinds of dialogue: it has to be abstract enough to allow for an indefinite variety of possible realizations, while still being concrete enough to have something to say. Sinclair's triadic model, if applied to casual conversation, poses a number of problems which derive from the dynamics of the conversational process: in principle, any segment is both backward-facing and forward-facing — having a function in respect of what has gone before, and another function in respect of what is to come. This does not seem to be easily accommodated in the three part structure as presented. But it offers an interesting interpretation of the interactive process and of the elementary exchanges out of which conversation is constructed.

5. A dynamic representation of casual conversation

One of the particular interests of casual conversation is that, more than any other kind of discourse, it forces the linguist to come to terms with text as **process,** in its dynamic aspects. The two kinds of discourse movement, narrative and dialogue, both show up in casual conversation, and we have to be able to account for:

the temporal flow;
the choices made at each point, with their realizations; and
the paralinguistic features

— each in relation to the two modes of exchange, exchange of information and exchange of goods & services.

The requirements of a dynamic representation could be summarized under five headings:

(1) It should allow for 'skipping': variation in the sequence of elements.

(2) It should provide for recursion, both 'linear recursion' (iteration) and embedding.

(3) It should accommodate optional elements, and uncertainty of boundaries between elements.

(4) It should bring in both verbal and non-verbal realizations.

(5) It should show clearly the interactional nature of dialogue: that it is a text with shared construction.

In addition, the dynamic representation should also link up with a synoptic one showing the **system** behind the text (e.g. system networks).

Eija Ventola has developed a method of dynamic representation using flow charts (see Figure 1.2). The vertical dimension represents the progression of the text from the initial state represented by 'Start' at the top. Four types of directional symbol are used:

cushions — elements of structure (as 'stages')
diamonds — enquiries
boards — action instructions ('do . . .')
flags — movement instructions ('go to . . .')

Together these fulfil the requirements specified under (1)-(4) above.

The cushion and the diamond provide for systematic variation in the text structure. The cushion specifies the functional element in the discourse; while the diamond affords opportunities for side-stepping — varying the selection of what sort of discourse is to figure within any one functional slot. The board represents work to be done, and this allows for both verbal and non-verbal realizations: the same function may be served by talk or by paralinguistic action, or by some combination of the two. The flag instructs the interactant to go back or forward to some other point in the sequence; or to go round again adding a piece of discourse having the same function as the last.

The interactive basis of conversation, requirement (5), is built into the flow chart in the form of two parallel lines of development, one for each of the two interactants. Thus the text is shown as the joint production of the two.

Ventola (1979) defined casual conversation as conversation taking place within a casual encounter having situational properties as follows:

[field] non-technical; maintenance of social relationships
[tenor] non-hierarchic; (1) friend-friend, or (2) stranger-stranger
[mode] face-to-face encounter

She set up generalized structural formulae for these under two headings:

(1) friends:
$$[G(^{A}d)^{}] \left\{ [\widehat{Ap\ D}] (^{}\widehat{Ap\ I}) (^{}\widehat{C}^{}) [\widehat{Lt}] \right\}^{}Gb$$

(2) strangers:
$$(G)^{}\left\{ [\widehat{Ap\ I}] (^{A}d)^{} [\widehat{Ap\ D}]^{}C (^{}\widehat{Id}^{}) [\widehat{Lt}] \right\}^{}Gb$$

The notation is as in Hasan (1978), with the addition of $\{\ \}$ specifying the outer limits of recursion; the abbreviations are as follows:

G	Greeting	Id	Identification
Ad	Address	C	Centring
Ap D	Direct Approach	Lt	Leave-taking
Ap I	Indirect Approach	Gb	Goodbye

Variants are set up for 'minimal' conversations (those consisting only of Greeting and/or Approach); but these could readily be incorporated into the general formula.

Here is the beginning of a casual conversation between strangers on a bus. A is sitting next to the window; B comes on board and sits down next to A.

A: Is this too windy for you when the window's open?
B: It is a bit windy darling.
It's the draught.
Makes a mess of — [laughs; points to hair]
A: Yes.
B: It's a terrible mess, I know. [A closes window]
Thank you, thank you.

There is no Greeting; these lines realize an Indirect Approach. An Indirect Approach has to do with contextual topics such as the weather and the immediate surroundings, whereas a Direct Approach concerns more personal topics such as the appearance, health, family or shared experience of the interactants. In casual conversation between friends, the Greeting element is usually realized, and the initial Approach may be Direct; whereas between strangers there is often no Greeting and the conversation begins with an Indirect Approach.

We can generate this discourse using the flow chart in Figure 1.2. Since the interactants in a casual conversation are **for this purpose** equal in status, the flow chart represents the options for the two of them as mirror images. (It may be necessary to modify this to take account of factors which may not always be neutralized, such as difference in age.) The 'cushion' specifying the stage, or element of structure, carries the rubric [tenor], signifying that it is the tenor of the situation (the interpersonal role and status relationships) which will be the relevant decisive factor in determining which option is taken up. Since the interactants are strangers and there is no other feature of the tenor calling for a Greeting they follow the 'no' arrow and move on down.

This leads to 'Is extended conversation possible?'; and clearly now that they are fellow travellers it is. They thus proceed to the Address element (here relabelled Attention to allow for other, non-vocative forms of giving and gaining attention). Again the reference is made to [tenor]; neither the interpersonal relationship nor the situation requires a drawing of attention, so they move on to the next stage, that of Approach. This now makes reference not only to [tenor] but also to [field]. Participant A feels a need for 'small talk'; she does not know her partner, she does have empathy with her, and she does not want a personal topic — so the work to be done is 'talk about a contextual topic'. A's choice in turn determines the route chosen by B, and the two are thus launched into a joint 'Indirect Approach'.

The actual path through the flow chart which the interactants have taken up to this point is shown in Figure 1.2. We can see by comparing this with the flow chart itself what are the options that have been taken up and how this particular conversation can be related to others of the same genre. The flow chart, in turn, can be used in conjunction with a synoptic representation such as that of the structure potential as formulated by Hasan (1979), and with the system networks of systemic theory (Halliday, 1976). The determination of the values of field, tenor and mode that are relevant to the various choices made on the way through can be derived from the interaction between the **CONNOTATIVE PLANES** as presented by Martin (1984a).

There is still a great deal of further work needed in the development of dynamic models for the representation of casual conversation and other forms of spoken discourse. The flow chart is a useful addition; but in its present form it has severe

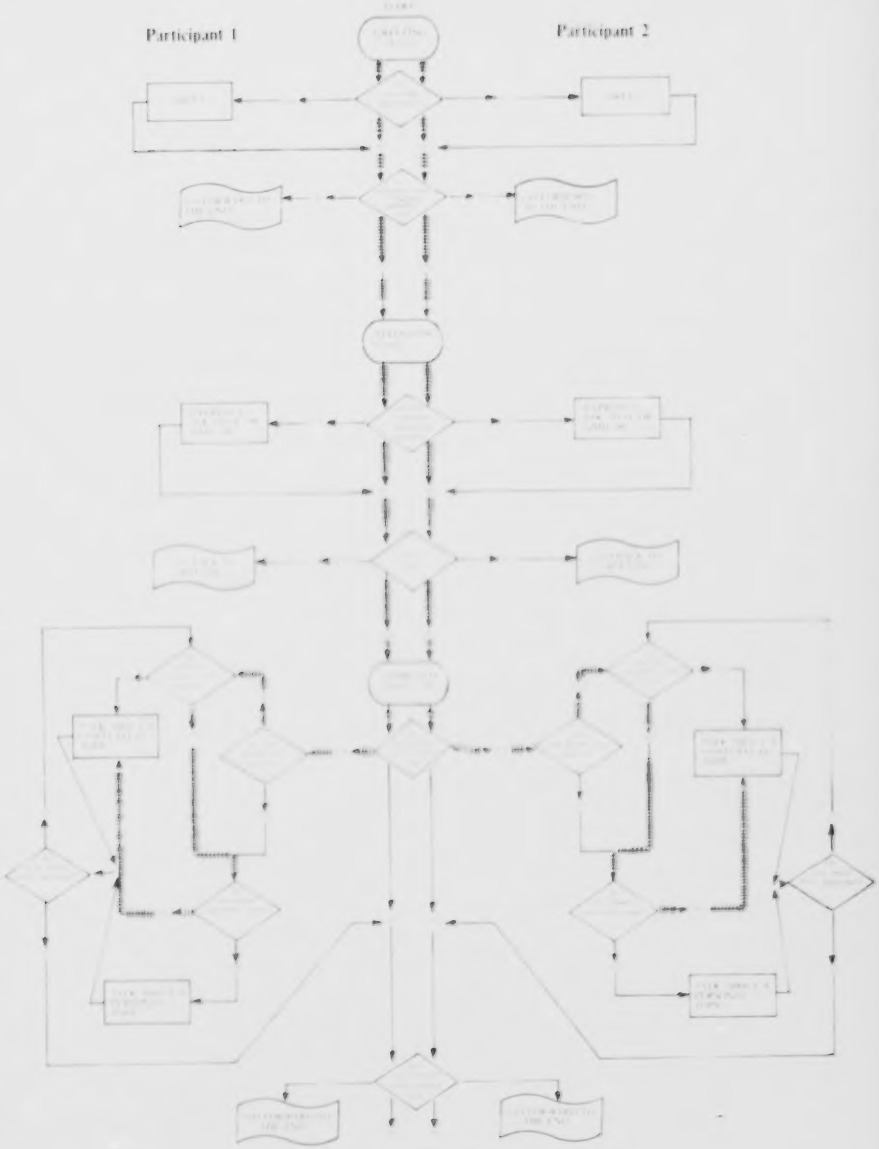


Figure 1.2: The flow charts
"Railway lines" show route taken by participants

BEST COPY AVAILABLE

limitations. It reduces all interaction to dyadic forms, adaptable perhaps to (say) a service encounter involving two speakers, but not to a three-way conversation. It does not show turn-taking mechanisms or other forms of control. It does not distinguish paralinguistic behaviour of a supporting kind from non-verbal realizations of functional elements. It does not show a clear time line, since it mixes together events in real time with purely analytical sequences. It does not show interruptions and interpolations. And it does not show linguistic realizations — it is not yet clear exactly how the various parts are to be integrated with an explicit lexicogrammar. Nevertheless it is an important contribution towards a more adequate treatment of the process aspect of discourse, and therefore particularly relevant to the study of casual conversation.

6. Casual conversation and Sinclair's concept of 'plane change'

Sinclair distinguishes the **AUTONOMOUS** plane, which is characterized as retrospective, and the **INTERACTIVE** plane, which is characterized as prospective. Plane change occurs when an interactant encapsulates some previous interaction into a new move and begins to talk about it.

What is the status of the initial utterance in a conversation? In one sense, the opening element must be prospective: it is setting the scene for the interaction that is about to occur. But it cannot come out of nowhere. Thus the initial utterance in the casual encounter text in the preceding section, *Is this too windy for you?*, although it does not refer back certainly refers outwards, with *this* ('the open window'), *too* ('by some pre-existing standard') and *you*. Contrary perhaps to Sinclair's own intentions it seems more appropriate to consider this on the autonomous plane, introduced by a posited 'I ask you' — especially since the continuation *when the window is open* must be autonomous because it is retrospective to what precedes it.

The reaction *It is a bit windy* is an averral which clearly refers back, taking up the various components of speaker A's remark: *it* refers to *this*, *a bit* is a polite down-toning of *too*, and *windy* is a lexical repetition. The vocative *darling* is interactive, and has no lexical content.

It's the draught, makes a mess of — takes us back to the autonomous plane. Leaving aside *yes*, which (like that discussed in Section 4) is part of the framework and outside the conversational structure, we have *It's a terrible mess* referring to the *mess of* — ('the hairdo'), hence again autonomous; followed by the interactive elements *I know*, which is a running repair, and then *Thank you, thank you*, which is a Determination rounding off the non-verbal exchange whereby speaker B signals her desire to have the window closed and speaker A closes it. To summarize:

	autonomous	interactive
A	Is this too windy for you when the window's open?	
B	it is a bit windy	darling.
	It's the draught, makes a mess of —	
	It's a terrible mess,	I know.
		Thank you, thank you

This concept of planes and plane change (Sinclair 1981) also brings out a certain dynamic aspect of casual conversation, although the positing of abstract elements of a 'speech act' kind, such as 'I ask you', seems to introduce an unnecessarily static element into it. Presumably as one approaches the dialogue end of the continuum set out in Figure 1.1 more items will be found in the 'interactive' column.

It is not clear where features of the textual component (Halliday's textual metafunction) will be accounted for, e.g., cohesion and thematic structure; or how meanings signalled by rhythm (or stress) and intonation can be brought out. As it stands, the analysis suggested seems to be too much tied to constituents (for example there is embedding, but no hypotaxis — see next section), too lacking in motivation, and not delicate enough to provide insight into the richness of conversational exchanges. But perhaps it should be carried out altogether at a more abstract level, in conjunction with a closer analysis of the text such as Halliday's metafunctional interpretation (see Appendix 1 'The silver text' in Halliday, in press).

7. A grammar for casual conversation?

Finally we have to come to terms with what may be the most fundamental problem of all: there is no grammar for casual conversation.

Linguistics began when languages came to be written down: that was how people came to be aware of language. But they became aware only of **written** language; so we have some 2,500 years of written grammar — that is to say, grammar that was evolved solely for the description of language in its written form. And it is not well adapted to speech.

We face the problem whether simply to throw it away and start again, creating a totally different grammar which would be a grammar of spoken language. This would be one possible approach. The other approach is to try to adapt existing grammatical descriptions so that they take account of spoken forms — and also become more dynamic. This is one of the things that Halliday has been trying to do in developing systemic grammar.

One example of the way systemic grammar attempts to interpret natural, spontaneous speech is through the concept of **LINEAR RECURSION** (actually iteration rather than recursion) as embodied in the **CLAUSE COMPLEX**. This explains the patterns of complex clauses (and also complex phrases, groups, words and morphemes) dynamically in terms of hypotaxis and parataxis, as opposed to the more static notion of embedding that is used to handle these phenomena in structural grammars.

If we do not automatically dismiss spontaneous conversation, as most people do, but instead pay attention to it and recognize its value, then we find that it has some remarkable properties. It is far from being the disorganized and rather simple phenomenon that it is usually made out to be. Compared with more formal or written discourse — text that is planned and comes to us as a product rather than as a process — spontaneous conversation is indeed very simple **in one respect,** namely lexical density. It is extremely sparse: few lexical items per clause, and those there are are the often fairly common ones. Casual conversation is low, in other words, in lexical information.

The corollary to this, however, is that it can be extremely high in grammatical information. Casual conversation is lexically sparse; at the same time it is grammatically intricate. This intricacy can reach a point where a sentence of casual speech, if accurately transcribed, is so complex in its grammar that it is almost impossible to follow in the written form; yet that same sentence was spoken and understood without either speaker or listener ever noticing it. Here is a modest example from a recording by Guenter Plum:

> I had to wait — I had to wait till it was born, and till it got to about eight or ten weeks of age, then I bought my first dachshund, a black and tan bitch puppy, as they told I should've bought a bitch puppy to start off with, because if she wasn't a hundred percent good I could choose a top champion dog to mate her to, and then produce something that **was** good, which would be in my own kennel prefix.

11 I had to wait,
$1 = 2\alpha$ I had to wait
$12^{\wedge}\beta 1$ till it was born,
$12\beta^{\wedge}2$ and till it got to about eight or ten weeks of age,
$^{\wedge}2\alpha$ then I bought my first dachshund, a black & tan bitch puppy,
$2^{\wedge}\beta\alpha$ as they told me
$2\beta^{\wedge}\beta\alpha\alpha$ I should've bought a bitch puppy
$2\beta\beta\alpha^{\wedge}\beta$ to start off with,
$2\beta\beta^{\wedge}\beta\alpha 1\alpha \ldots$ because
$2\beta\beta\beta^{\wedge}\beta$ if she wasn't 100% good
. . . I could choose a top champion dog
$2\beta\beta\beta\alpha 1^{\wedge}\beta$ to mate her to,
$2\beta\beta\beta\alpha^{\wedge}2\alpha$ and then produce something that **was** good,
$2\beta\beta\beta\alpha 2^{\wedge}\beta$ which would be in my own kennel prefix.

The clauses that go to make up a clause complex such as this one are not embedded one inside another. The speaker does not construct a mental plan of the grammar in advance, like a completed architectural drawing; rather, he sets out on a journey, and each lap of the journey takes him to a point from where he can set out again. One lap may be dependent on another, in the sense that he sets out for point *tai* because this is a good way of getting to point *tbi*, but each lap is a distinctive stage in his progress. The grammar (that is, the model of grammar) that is used for interpreting casual conversation needs to represent the clause complex in this fashion, rather than as a static edifice of structural constituents.

The example just given is fairly complex; but it does not 'break' any 'rules'. However, there are many instances in casual conversation which do not fit the standardized norms of written grammar; and somehow the grammar of speech has to be extended to accommodate them. Here are some other examples taken from Plum's recordings:

> And she's a red bitch, which a lot of judges won't put up reds; they're biased against reds.

Here the *reds* is put in at the end of the *which* clause to show that the speaker is now talking not just about the one red bitch but about the whole class of red dogs. Here is another example:

> He was one of those dogs that no matter what fence you put in he'd like to

hop out and go walkabout.

By the time the hypotactic clause *no matter what fence you put in* has been completed the speaker feels the need for picking up the subject again with a repeat of the pronoun *he*.

Features of this kind — including repetition, completion of a structure after a gap, and so on — are systematic features of spontaneous discourse. Other instances occur which, although they are not systematic, are nevertheless functional in the particular context; for example,

Two big boys came down; they were about seventeen, and to let us know.

The formal grammar would predict *and they came to let us know*; but *and* serves by itself to signal that the following clause is also to be related to *two big boys came down*.

To return to the point made in the first section: it would be very easy to decide a priori that these features were 'ungrammatical', and then to proceed on those grounds to represent them in a form of transcription which made them look that way. But in his analysis of these texts Plum shows that such instances are not in any sense defective: they maintain the progression of the text, including its grammatical progression — the dynamic of the clause complex; and they pose no problem of interpretation. The 'problem' with them is simply that our conscious understanding of grammar has not yet caught up with the full potential of the grammar of spontaneous speech.

There is a great deal to be learnt from the study of casual conversation. It is a significant form of discourse in its own right, both because of its place in social interaction and because it is the vehicle for so much of what we learn — see for example Berger & Luckman's (1967) well known discussion of the 'reality-generating power' of casual conversation. But it is important also because it is the foundation of all language. It is in the process of spontaneous discourse that new meanings are made, and that our resources for making them — the grammatical and semantic systems of our language — continue to grow and develop.

CHAPTER TWO

A KNOCK ON THE DOOR: AN ANALYSIS OF CLASSROOM DISCOURSE

*R F Walker (Convener)
*F Christie (Co-convener)
W Green
*B Horvath
R Khoo
*M McCausland
P Price
*J Rothery

1.0 Introduction

The aim of this group was to attempt an analysis of discourse produced in the classroom. We soon became aware that analysis involves three inter-locking stages:

a) Data collection;
b) Transcription;
and c) Analysis.

1.1 The Videotape

The group decided to reject available transcripts in favour of compiling its own transcript from a videotape supplied by Peter Honor (University of Sydney), through Barbara Horvath. We feel, therefore, that Peter is an honorary member of the group: the one who carried out the first stage of the work. His video was of a teacher preparing four children to write a story. The children were seated side by side in front of the teacher. The camera was so placed that the four children were visible at all times; but the teacher was not in view.

1.2 The Transcript

There were differing opinions as to how much and what aspects of the context needed to be included in the transcript to support the linguistic data. There was concern, too, as to whether intonation and pronunciation was to be noted in transcription.

It was agreed, finally, that since writing anything in a transcript involved interpretation, there should be an unequivocal interpretation of what was said, accompanied by notation of extra-linguistic support for the interpretation adopted in the transcript and in the further analysis of that linguistic data. It was also decided that those who would analyse the data had three texts to work from:

(a) The videotape;

(b) Notations of possible interpretations brought forward in group discussion; and

(c) The written transcript.

It was decided too, that

(a) particular sub-groups would need to rely more heavily on one or another of

those three texts according to the scope and nature of their particular analytic framework;

(b) the video would be used to check uncertainties that arose during analysis.

1.3 The Analyses

To consider what analyses to apply, the group was broken into four sub groups, in accordance with individual interests; but the full group reconvened, before analysis began, to ensure that the four analyses would complement one another and yet avoid an undesirable degree of overlap. At that stage, the four analyses were named

(a) Schematic structure of the lesson: (Leader: Frances Christie)
(b) The text structure (Leader: Barbara Horvath).
(c) Analysis of the discourse (Leader: Mike McCausland).
(d) Analysis of the context (Leader: Bill Green)
(e) Dick Walker was to consider the overall integration of the analysis.

The group was joined occasionally by Joan Rothery, who attempted a partial analysis of some aspects of the language of the discourse.

In the following pages, first the transcript is presented; this is an outcome of the joint efforts of the group as a whole. Then the written reports from sub groups (a)-(c) are presented. A written report from (d) was not received; but perhaps Christie's contribution goes some way toward establishing the centrality of context to the analysis of classroom discourse. The presentation of the sub group reports is followed by a synthesis, attempted by Dick Walker; it is regretted that in this synthesis, Rothery's findings are not included. As the analysis was only partial, we would like to offer it as an indication of the 'tie up' between language and the total social activity in which language participates.

In the transcript the teacher is never mentioned by name. The names of the four students have been changed to preserve anonymity. These are:

Chris = S1
Al = S2
Adam = S3
Nadir = S4

These four students sat in that order, left to right, as they faced the teacher.

2.1 A knock on the door

T:	Right then now remember last week I gave you a picture and we talked about the picture	Four children in a row; teacher off camera and in front of children; gaze of children on teacher; children relatively immobile and attentive; Child 2 aware of camera indicated by a quick glance.
S all:	Yes	
T:	Well now this time we're going to do something different. We're not going to talk about the picture and you're going	S4 fiddles with fingers; S2,3 glance at camera; S3 rubs leg

	to pretend you're sitting in your house and it's night time.	
S4:	Hn	Overlaps with 'pretend . . . night time' S4 then raises hand in anticipation of teacher's turn allocation
T:	Suddenly you hear a knock at the door and you will have to tell me what who do you think it was who came to your house and knocked on your door . . . Who do you think it could be?	S1's hand goes up on 'house' S4's eyes flick down — response? S4's hand goes up (just after 'door' almost simultaneous with the next 'who' question)
S1:	Your mother or father?	Puts hand down as he answers. S4 has smile (lips closed, pulled back — half smile?) Note: during this, S2's gaze on teacher — face slightly slanted down — gaze up; S3's gaze on teacher, face up, chin forward S1: statement: slight rise; face slightly down — gaze up on teacher
T:	Coming to the house?	Tone of teacher suggests raised eyebrows? Tone indicates mock surprise
S1:	Yeah . . . from work	Tone indicates defense
T:	Oh! Oh yes, could be	Note — S4 has had hand up all this while; on 'could be', he shakes pointed finger; a shifted utterance/interjection
S4:	Aah	
S4:	A robber	S4: hand remains up; takes next turn; before taking turn, makes stronger bid (waves fingers) (note: this prior to 'a robber')
T:	Oh, do you think a robber would knock on the door?	Camera moves up, off boys. Tone indicates scepticism
S4:	Yes	S3 raises hand
T:	What would you do then if a robber knocked on the door?	All focussed on teacher
S1:	Don't listen.	Simultaneous answering of question addressed to S4
S4:	I won't I w won't open it.	S1 clasping hands when answering
T:	Sh sh	Teacher's shush addressed to T?
T:	You wouldn't open it? . . . What what how would you know it's the robber then?	Responds to S4 (?) S2 interjection S2 sits forward; looks across to S4 on S4's 'because'

S2:	lock everything	
S4:	Because . . . umm . . .	
S3:	You look out the window	
T:	Sh sh	Addressed to S3; S1's hand goes up (simultaneous to 3's utterance and teacher's shush.)
S4:	Because your Dad and your Mum is still asleep and your sister and brother are still asleep except **you** a-a-and you look through the window and if if he's got a **mask** that means it's a robber.	Hesitation filler (Has taken up 3's suggestion?) 4's eyes flicker from his left to right. S4: hands to eyes re'mask'; hesitation filler as a turn holder
T:	Oh right oh who do you think well what do you think yours could be, this knock on the door?	S1 hand movement? Allocates turn to S3 S1's hand goes down (pause)
S3:	A stranger	A tentative, rising intonation. Big smile — looks down, to teacher's left, before up, as he answers
T:	Yes, and why would he knock on your door?	
S3:	'cause he wants to um kidnap you kidnap	S4 puts hand up (ignored) (simultaneous to T's Q) immediate response to — his eyes open, his lips as if about to speak/interject? S3 corrects himself kidnap (b/d?) expression changes, smile falters looks to teacher (for confirmation?)
T:	Kidnap you.	S4 mouth open, eyes up, face slightly down, enters directly when opening offered
S4:	Oh some or he might have a knife in his pocket and kill you	S4's hesitation/stammering across first part. S4 puts hand near pocket T (in response to S4, shift to quizzical expression)?
T:	Oh my goodness Oh who do you think might be coming to your door then, A1?	S3 quick glance at S2 (prior to 'A1') S2 looks down at 'think' (in response) anticipation — teacher's eye contact? (Has teacher signalled nomination non-verbally?)
S2:	Our cousin gap(?). Then they live in a shop 'cos everytime they go they shut the shop tonight and they come to our house	Rising intonation on 'our cousin' slight pause, eyes during this to teacher; said all in a rush (?)
T:	Oh	
S2:	Not every everytime	S3 Shifts position

T:	No. Alright well I want you to tell me the story when you write it. I want it to have a beginning who knocked on your door and then I want you to tell me **why** they knocked on your door and then an **ending.** Now what do you think would be the end of your story, Chris?	S1 quick nods S2 glances at camera at 'why' Before 'now' a pause; students appear to be 'thinking'; no attempt to claim the turn (Chris makes mouth movement) (prior to being directly addressed) (on 'ending') (S2 glances at camera?)
S1:	Robber	(Child who originally responded 'mother and father' revision of original answer (interpretive note)
S2 or S3:	Wind	S3 quick glance to camera on address ('Chris') S2 quick glance at 1
T:	Are you going to have a robber **too?** What's going to be the end of the story?	T redirects to 'end'. Chris nods in response to first Q. leans back 2 leans towards 1 (as if looking around Teacher?)
S1:	He **killed** me.	S1 smiles looks to teacher's left before, then back to teacher
T:	Oh my goodness alright then Nadir what do you think would happen to your end end of your story? Who who's going to knock on your door?	Pause S4 slight smile — gaze at teacher S4 rubs nose; fingers chin with both index fingers; sits forward Camera focusses on Nadir; fills frame
S1:	And he stole the money	S1 takes turn — no allocation (camera cuts back to full)
T: S4:	And he stole the money Ah h	AT THIS POINT TYPIST TIRES. NO FURTHER COMMENTS WILL BE TYPED IN ON THIS SECTION
T:	Well have a think. Adam what do you think will happen?	
S3:	The same as Chris	
T:	Oh couldn't you think of something different? . . . A1, what's going to happen **when** your cousins come? **Why** did they come?	
S2:	Because they came to visit visit us	
T:	And what will be the end of your story? . . .	

Adam, alright Nadir
S4: But I killed **him**
T: You're going to kill him
S4: Yes
T: That's going to be the end of yours
S4: but **I killed him**
T: Oh you killed him
S3: He knocked me unconscious and then he stole the money
T: Too . . . Goodness me and I'm Chris what's going to happen to yours?
S3: He already said.
T: What happened . . . I'd forgotten . . . What happened
S1: He killed me and he stole the money and the jewellery.

VIEW ONE: Curriculum genre and schematic structure of classroom discourse

2.0 Some terms defined and a perspective established

The term "curriculum" is normally taken to embrace all teacher/pupil encounters and/or experiences of a kind generated in schools so that children may learn. Teaching is thus seen as a deliberate activity undertaken by teachers with a view to generating children's learning in schools.

We are looking at and analysing a teaching/learning episode which needs to be fully understood as forming part of a wider overall curriculum plan. The presence of an overall curriculum plan has important consequences for the shape of any particular teaching/learning episode.

The object of our task here is to establish the schema for this particular teaching/learning episode, which is in the nature of things unique in one sense – but also an example of a highly formalized teaching/learning transaction of a kind frequently found in schools.

There will be several measures of the extent to which the schema we have established and the perspective we have taken will have been demonstrated to have been appropriately justified. One measure will be in the extent to which more delicate analysis of the language can be shown to motivate the overall text schema advanced, so that a very clear relationship can be shown to exist between actual linguistic items used and the identified elements of text schema.

Another measure will be the extent to which the schema developed for this particular teaching/learning episode — Knock on the Door — can be shown both to be related to the wider overall curriculum pattern and more significantly to provide some understanding of how that curriculum pattern works.

Other sections of this report — notably those by Dick Walker and Barbara Horvath and by Mike McCausland and Rosemary Khoo — will offer finer linguistic analysis. My task, in discussing the schema as we have developed it, is to

say something in addition to the other measures — namely the motivation for our understanding of the overall curriculum, and its relationship to the schema.

2.1 The Curriculum

The overall curriculum, as Table 2.1 seeks to demonstrate is itself to be understood as many layered. Consider first of all the general curriculum. A view of the general curriculum operates in any school, primary or secondary. It is for example, more or less explicitly expressed in statements of school policy, advice to parents, officially prepared and distributed documents emanating from agencies such as the State Departments of Education in Australia or the Catholic Education Offices, and it is also found in the various prospectuses of independent schools.

General curriculum as it operates in any one school is expressed both in the documentary materials of the kinds sketched in above, and in the patterns of working negotiated by teachers in relationship with each other as well as with their pupils. In all these documents and all these patterns of negotiation and of working lie powerful sets of understandings.

They include for example, understandings and beliefs about knowledge, about how it is organised and about why it is valued. They also include understandings about individuals, about how they learn about why they are valued, and about why knowledge is considered valuable to them.

In all these understandings there are in any school including the primary school from which the present teaching/learning episode comes, beliefs and attitudes about the development of children's abilities through significant learning experiences. All these beliefs have consequences for teaching/learning practices.

Below the overall view of the general curriculum there lie statements of curriculum and associated practices and methods of working for each of the independent curriculum areas, including primary English, normally known as Primary Language Arts.

Primary language arts documents, in Australia at least, tend to place great importance upon the development of children's language capacities in all four basic modes — listening, speaking, reading and writing. They express attitudes about language and about its role in personal development and in learning. In turn, they also express attitudes about individuals and about why their development in the so called "language arts" is important.

At yet another layer, any class or grade will work to a language arts program planned by the teacher as a sequence of language learning experiences for the year, the school term, the month, the week. The program will be conceived and developed both in the light of the language arts program and in the light of the general curriculum of which the language arts curriculum is itself a part.

The program will express attitudes about abilities in listening, speaking, reading and writing and about strategies for teaching to develop these and it will also contain attitudes about items of language knowledge to be taught and learned and the preferred order in which these are introduced.

Such items include matters as various as knowledge of spelling and punctuation rules, or knowledge of the different literary genres. The teacher's role is to construct an overall program in which provision is made for the teaching and learning of all these items in an orderly way.

Time-honoured teaching/learning practice requires that the teaching of any one episode be undertaken in such a way that the particular event both has a relationship to what has gone before and has consequences for what will happen after it.

Any one teaching/learning episode is thus undertaken as part of an infinitely more complex set of interconnecting activities, all of them representing interconnecting attitudes and ideologies about the value of knowledge, the nature of individuals, and the nature of teaching and of learning.

It is now necessary to look at the consequences of this discussion for the particular teaching/learning episode Knock on the Door.

2.2 The Schema

The teacher may be said to have been working with two objectives in mind, (see table 2.1) the one general, the other specific. The former is to do with the teacher's general concern to develop writing abilities where that implies learning to write in a number of ways for different purposes. The specific objective refers to the specific interest in this lesson in developing the ability to recognise the story genre and to produce an instance of it.

As the lesson begins the teacher refers to an earlier teaching/learning experience in which the children discussed a picture. There is an implication that the discussion led to the writing of a story or at least to the construction of one orally. The allusion to the earlier activity is clearly intended to establish a link to this teaching/learning activity, constituting part of the pattern of orientating the children to the present task.

The initial orientation in terms of reference to past events leads to an orientation to the present task where the teacher introduces notions of "pretence", being in one's house on a Saturday night, and a knock on one's door. The teacher has begun the process of introducing the content about which the children are to write. It is for the children to begin negotiating with her the details of a possible series of events which will ultimately form the basis of a story.

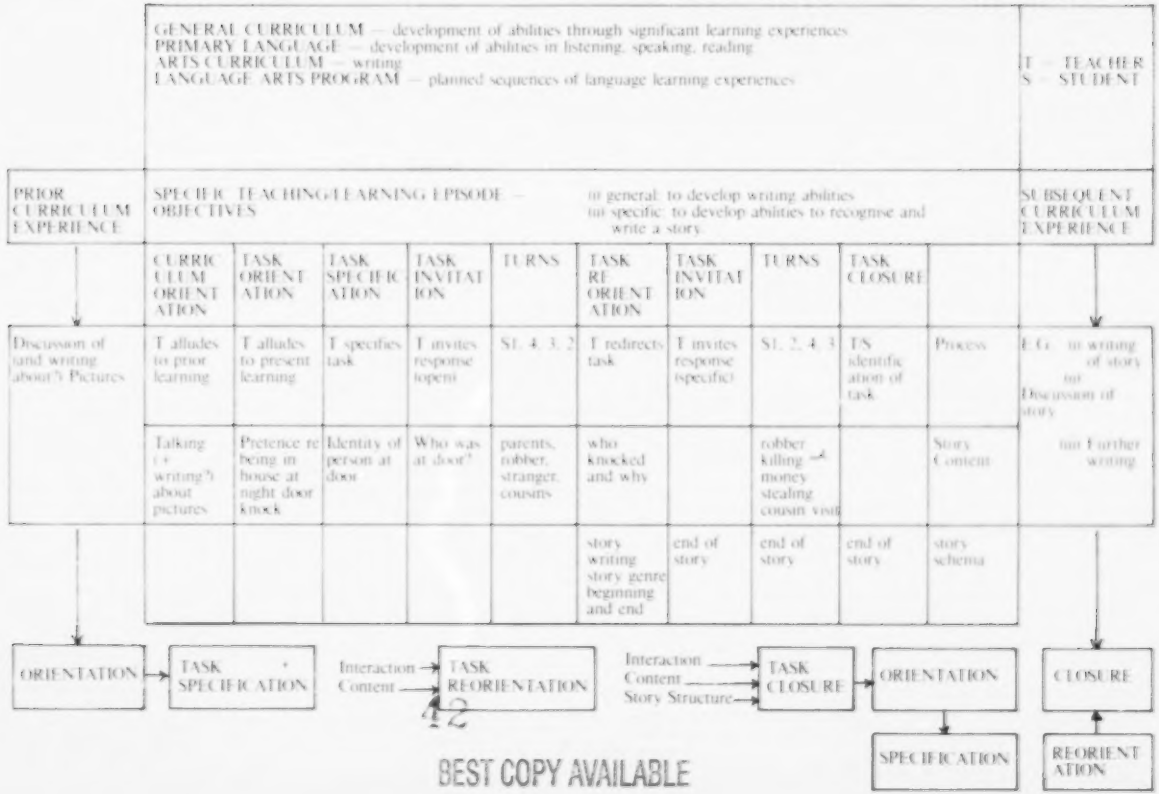
Thus, a specific task — the first in fact — is given the children; namely, that of identifying the person who knocked at the door.

Two strands are already apparent in the pattern of the teaching/learning activity. The one is a process of interaction of participants with a task: an engagement of the pupils with a job to be done. The other strand developing out of the interaction process and of course paralleling it, is the development of the details of the content of the eventual story. Such details as we have already noted, are to be negotiated between teacher and pupils, and a series of turn takings follows as the teacher seeks to guide, respond to, encourage and extend pupil contributions.

Through these turn takings the two strands we have identified continue to operate.

Then a new element in the unfolding schema emerges as the teacher moves to a reorientation of the task, introducing significant new information concerning the writing of a story, and using certain technical terms to do with the story genre, notably "beginning" and "end". A third strand, to do specifically with story schema is now operating in the discourse.

Table 2.1: **Curriculum genre and schematic structure**



BEST COPY AVAILABLE

Pupils are invited to indicate how their story might end, and at this stage unlike the teacher's initial step of inviting responses to a task, individual pupils are named while being asked to say how their stories might end. The series of ensuing turn takings leads to an eventual task closure in which it has been established that the children have a job to do in writing a story about someone knocking on one's door and about the events consequent upon that.

2.3 Conclusions

This analysis says nothing of the actual success of the teaching/learning episode for finer linguistic analysis will throw light upon this. The schema may be demonstrated to have operated even if, as I believe, more delicate analysis does show, two of the four pupils fail to understand the nature of the task the teacher has set them.

The analysis has in fact served to demonstrate a schema, and a curriculum genre may be said to have been established. Furthermore as the analysis has also shown the particular activity as an instance of the curriculum genre does indeed need to be understood by reference to a broader view of the curriculum. Specifically, reference is made to earlier learning, and a subsequent learning activity has been established by the end of the episode.

The particular genre in addition does suggest views of teaching and learning about language arts. The idea of writing a story is shown to be valued by the teacher and the children are encouraged to understand and share that value while they are also encouraged to understand and write a story.

While the curriculum genre has been established for the particular teaching/learning episode, there is reason to believe that the kind of teaching/learning transaction negotiated here is of a kind found more generally in other curriculum activity: curriculum orientation, task orientation, task specification, turn taking, task reorientation, more turn taking, task closure.

Out of the curriculum and task orientations the expectation is that a set of understandings will develop in a cumulative sense as the children interact with the content and the task the teacher seeks to generate. Once the set of understandings is deemed to have been established a new stage of reorientation seeks to redefine the task, and to redirect the children's thinking, building out from the understandings established in the first stage, before moving to a closure.

It remains for further analysis to establish how and in what ways such a curriculum genre does seem to apply more generally and what variations upon it appear to operate.

2.4 A Final Note

This analysis has failed to capture adequately the nature of the interaction and participation of the children. A more satisfactory way of capturing their participation in a dynamic way would be through a flow chart. Time did not permit development of such a thing though I shall attempt to develop one.

VIEW TWO: The linguistic structure of the text

3. Aims

This sub-group, consisting of Barbara Horvath and Dick Walker, based the analysis mainly on Halliday's "Silver text". However, we were aware that the analysis had to sit between and link up with those of the Christie sub-group (which was centred on the structure of the lesson) and the McCausland sub-group (which based its analysis on Sinclair and Coulthardt's "Towards an Analysis of Discourse"). Consequently, we extended the Halliday analysis (1985) in two directions.

(i) to stages in the lesson, such as The Christie sub-group would be likely to identify; and

(ii) to discourse structure and functions, such as the McCausland sub-group would treat.

In his "Silver Text" paper, Halliday pointed out that such an analysis has two aims: interpretation and evaluation, which he glosses as "Why the text means what it does" and "Why it is valued as it is — why it is effective, or not effective, in relation to its purpose or as a specimen of its kind". We concentrated on the former aim, its achievement being basic to any attempt at the latter.

The text fell into four segments, which we assumed would correspond to stages in the lesson. Segment 1 is an orientation segment in which the teacher prescribes the process to take place in Segment 2; and Segment 3 is a re-orientation in which the teacher prescribes the changed interaction process to take place in Segment 4. This segmentation can be substantiated on linguistic grounds in that a further level of semantic organisation is prescribed in Segment 3 and responded to in Segment 4.

Within each of the four segments, "Steps" are distinguished. Each step consists of a discourse exchange or a number of interwoven exchanges. It is so called because each carries the lesson segment forward by one step.

Within each "step", "moves" are made by individual speakers, and each move is made by means of an utterance, or rather through the interactional force of a major clause. Both the move and the clause by which it is effected are noted. Within the final column, labelled "Interaction Function", the function of each initiating discourse move is stated as a reaction to the previous exchange. The pragmatic purpose of each discourse move is also noted, together with the mood of the major clause used to make that move.

Abbreviations used within the analysis are:

T	= Teacher	D	= Declarative mood
S1	= Pupil 1	I	= Imperative mood
S2	= Pupil 2	Y/N	= "Yes/No" interrogative mood
S3	= Pupil 3	Wh	= "Wh" interrogative mood
S4	= Pupil 4	N	= Moodless Non-verbal

SEGMENT 1 (Teacher Orientation)

Step	Move	Speaker (& Discourse Role)	Main Clause	Interactive Functions	Speaker's Discourse Role	Pragmatic Purpose of Speaker	Form Mood
1	1	T (I)	Right...remember last week	Frame Focus	Exposition	Give information	D
	2	S (R)	Yes		Reaction	Give confirmation	N
2	1	T (I)	Well this time...do different	Focus present activity	Exposition	Give information	D
			We're not...picture	Focus Negate past activity			D
			You're...pretend...house...night time	Focus specify context of present activity			D
	*	S (R)	(their display of interest)	Reaction			N
3	1	T (I)	Suddenly...hear...door	Focus Imagined Context (cont.)	Exposition	Give information	D
			And you...tell me...	Focus specify interaction			D
			Who do you think it was...door?	Focus specify information required			Wh

Table 2.2: **Analysis of Segment 1**

Segment 1 consists of three steps, controlled by the teacher, to orient the children to

(a) the kind of interaction activity to be carried out and

(b) the information content required in that interaction.

A brief "frame" move (*Right there now*) is quickly followed by the first move of the orientation. The teacher makes connection with previous activity of similar interactive type, states that there will be differences, negates the irrelevant aspect of that activity, and goes on to specify the new content, the type of interaction (*you tell me*), and the specific information to be given.

The dividing lines between the three steps of Segment 1 are marked by reactive interruption, from the pupils, at points where the teacher pauses.

Throughout this segment, the teacher prescribes and/or focusses attention on four aspects of the communication which is to take place:

(a) Type of interaction used when dealing with the referent of a previous lesson.

(b) Negation of that referent; but reinstatement of that type of interaction.

(c) Context to be referred to (imaginary).

(d) Prescription of the content of the pupils' responses in relation to that context.

Within this first segment, then the requirements prescribed for responses by the children are:

(a) "You tell me" (presumably in turn) — a discourse demand and

(b) "Who came to your house and knocked on your door?" (in the imagined circumstance) — a "content" demand.

Those are the "givens" for Segment 2. A further element (to be supplied by the teacher) is turn allocation. The linguistic performance of each child is then to be evaluated for:

(a) Whether the pupil responds in his right turn, as allocated;

(b) Whether the pupil tells the teacher the identity of the one who knocked, (answering the question set up for all pupils);

(c) Whether the content of the response (the identity of the one who knocked) is appropriate to the prescribed imaginary context in which the person knocked on the door.

An analysis of segment 2 follows in table 2.3, below.

SEGMENT 2. (First Interaction Round)

Step	Exchange Move	Speaker (& discourse Role)	Main Clause	Interactive Step Function	Functions of Clauses: Pragmatic Purpose	Form of clause (mood)
I A	1	T (I)	Who do you think it could be?	Opening and turn allocation	Seek item of information	Wh (F)
	2	S1 (R)	Your mother or father?		Give item requested	D (R)
B	1	T (I)	Coming to the house?	Challenge content of response	Seek confirmation	Y/N
	2	S1 (R)	Yes... from work	——	Give & justify	N&D (F)
	3	T (F)	Oh, oh, yes, it could be	——	Evaluate content (non-categorical)	N&D (F)
2 C	1	T (Re I)	(non-verbal)	Turn allocation	Seek item of information	——
	2	S4 (R)	A robber	——	Give item of information	D (F)
D	1	T (I)	Oh, do you ... door?	Challenge content	Seek confirmation	Y/N
	2	S4 (R)	Yes	——	Give confirmation	N
E	1	T (I)	What would you ... door?	Follow up to S4	Seek item of information	Wh
	2	S1 (R)	Don't listen	——	Give item of information	I
	3	S4 (r)	I won't open it		Give item of information	D
	3	T (F to S1)	Sh sh		Evaluate (reject turn taker)	N
	3	T (F to S4)	You wouldn't open it		Acknowledge (echo)	D
F	1	T (I)	How would ... robber then?	Follow up to S4	Seek item of information	Wh
	2	S4 (R)	Because (interrupted by S3)		Give item (abortive)	——
	2	S3 (R)	You look ... window		Give item requested	D
	3	T (F to S3)	Sh sh		Evaluate (reject turn taker)	N
	2	S4 (Re R)	Because ..asleep, sister, brother look ... window ... mark ... rubber		Give item requested	D
	3	T (F to S4)	Oh, right		Evaluate (approve content)	N

A	1	I (I)	Who do you think ... door?	Open & form allocat	Seek item of information	Wh	
	2	S3 (R)	A stranger		Give item requested	D (E)	
	3	I (F)	Yes		Evaluate: approve	N	
B	1	I (I)	And why ... door?	Extend	Seek item of information	Wh	
	2	S3 (R)	Cause ... kidnap		Give item requested	D	
	3	I (F)	Kidnap you	+ Open	Evaluate: echo	D (E)	
	2	S4 (R)	Oh some ... kill you		Give item requested	D	
	3	I (F)	Oh, my goodness		Evaluate: reaction	N	
C	1	I (I)	Oh, who do you ... A1?	Open + form allocatam	Seek item of information	Wh	
	2	S2 (R)	Our cousin, then they, they come ... house		Give item & justify	D (E) D	
	3	I (F)	Oh		Evaluate: Reaction	N	
D	1	S2 (I)	Not every, every time	Follow up	Give item of information	D (E)	
	2	I (R)	No		Agree	N	

Table 2.3: **Analysis of Segment 2**

Segments 2 and 4 are what Sinclair and Coulthard (1975) term "sequences" of exchanges — the teacher asks the same question of each child in turn. Each "step" in Segment 2 is intended to be a dialogue between the teacher and a different child. Within the one step, negotiation of meaning sometimes takes place, so that a step may extend to several exchanges.

This procedure has been laid down and agreed upon in Segment 1 (as that used in the previous lesson); so that it has become a constraint on the semantic potential of the discourse. However, the division of the discourse into steps is not fully within the control of the teacher during this segment; and in Segment 4, an accidental breech by the teacher, at this level of prescription, brings an objection from a pupil.

Some of the interesting features in Segment 2 of the text are:

(a) Twice in Step 2, the teacher handles two respondents at once. In exchange 3, she "shushes" a reply from S1 (it isn't his turn) while carrying on an exchange with S4. Then in Exchange 4, she does the same with S3 who has interrupted S4 to usurp his right to reply. (Exchanges E and F).

(b) When the teacher uses what has been termed "Echo" and "Reaction" as feedback moves, there seems to be permission (or even an invitation) to the respondent to extend his response.

The teacher "challenges", in feedback moves, if she thinks that there is a breech of one of the three requirements set up in segment 1:

(a) answer when given a turn (she quashes uninvited respondents);

(b) answer the question set up; and

(c) answer in relation to the imagined context set up.

In Segment 3 of the text, the teacher sets up an additional requirement: "Who knocked on your door" is the beginning of your story, "you must also tell me why they knocked"; and have an ending to your story. In other words, the story has to have a set structure. The previous requirements still apply; so that, in Segment 4, there is an additional basis for evaluation or challenge of a response.

Table 2.4 presents the analysis of segment 3.

SEGMENT 3

Step	Exchange	Move	Speaker	Main Clause	Interactive Function of the Clause	Form Mood
1	A	1	T	Alright well, I want ... write it	Frame and Focus (global)	D
		2		I want it ... beginning ... door	Focus: Requirement 1	D
		3		and then I want ... why ... door	Focus: Requirement 2	D
		4		and then an ending	Focus: Requirement 3	D

Table 2.4: **Analysis of Segment 3**

There are some interesting aberrations in the text, such as "when you write it", and the contrast between the three requirements set up in Segment 3 and the simple demand made in her first move in Segment 4.

In Segment 4, the teacher is seeking to have each child, in turn, provide an ending for the story he will write. The structure of this part of the text is complicated by the fact that two children have received less than full approbation for the beginning they gave their stories in Segment 2 (step 1 and step 3). Consequently, S1 supplies a substitute beginning in Segment 4 (step 1, exchange A) rather than an ending; and S2, having been further questioned on his beginning, does not have an ending ready (step 4, exchange B).

SEGMENT 4

Step	Exchange	Move	Speaker	Main Clause	Interactive Function of the Clause: Step Function	Pragmatic Purpose	Form Mood
1	A	1	T (I)	Now, what ... end ... Chris	Frame and Open Turn allocation	Request item of information	Wh
		*2	S1 (R)	Robber		Supply item requested	D (el)
		2	S2 or S3 (R)	Wind		Supply item requested	
	B	1	T (I)	Are you ... robber too?	Extend	Request confirmation	Y/N
		2	S1 (R)	(non verbal nod)		Supply confirmation	
	C	1	T (Re I)	What's ... end ... story?	Re-open	Request item	Wh
		2	S1 (R)	He killed me		Supply item requested	D
		3	T (F)	Oh my goodness		Evaluate: React	N
2	A	**1	T (I)	Alright then Nadir ... end ... story Who's going to ... door?	Open	Request item of information Request item of information	Wh Wh
1 cont.	C	1	S1 (2)	And he stole my money	Follow-up	Give item of information	D
	(cont.)	2	T (R)	And he stole the money		Acknowledge: echo	D
2 cont.	D	2	S4 (R)	Aah (abandoned attempt)			
	A	1	T (I)	Well, have a think	Intercede Withdrawal of turn	Control	I

*This is apparently a reverse of his response in exchange A, Step 1 of Segment 2.
**This is the question set up for Segment 2, not Segment 4. The respondent ignores it.

3	A	1	T (I)	Adam, what...happen?	Open & Turn; Allocation	Request item of information	Wh
		2	S3 (R)	The same as Chris		Supply	D (e)
	B	1	T (I)	Oh, could you...different?	Challenge (Content)	Seek justification of content	Y/N
4	A	1	T (I)	A1, what's...when...cousins come?	Open & Turn allocation	Request item of information	Wh
		2	S2 (R)	Because...visit us	Open (re words)	Give item requested	D
	B	1	T (I)	* And what is end...story?	Follow up	Request item of info	Wh
*2 (cont.)	D	1	T (I)	Alright, Nadir	Turn allocation	Control	N
		2	S4 (R)	But I killed him			
	E	1	T (I)	You're going to kill him?	Clarify content	Request confirmation	D
		2	S4 (R)	Yes		Give information	N
	F	1	T (I)	That's...end of yours	Clarify	Request confirmation of item	D
	G	2	S4 (Re R)	But I killed him	Challenge feedback	Recurrent item	D
		3	T (F)	Oh, you killed him		Acknowledge echo	
*** 3	C	2	S3 (R)	He knocked me unconscious and then he stole the money	Turn take	Supply item requested Evaluate: react	D N
5	A	1	T (I)	Chris what's...yours?	Turn allocation	Request item of information	Wh
	B	1	S3 (I)	He already said	Challenge (turn allocation)	Give information (turn allocation)	D
		2	T (R)	...I'd forgotten...		Justify	D
	C	1	T (Re I)	What happened?	Re-allocate turn and open	Request item of information	Wh
		2	S1 (R)	He killed me...jewellery		Give item of information	D
		3	T (F)	Oh h h		Evaluate: React	N

* For the first time, the teacher requires both a middle and an end to the story, as laid down in Segment 3.

** In step 1, S2 was directed to think about a response, his turn being withdrawn at that stage. He seizes a turn to complete Step 1.

*** S3 seizes a turn to respond for Step 2, Exchange B.

Table 2.5: **Analysis of Segment 4**

In this early part of Segment 4, it becomes evident that extension of some steps is being caused because of an implicit requirement that the stories be different. The new beginning volunteered by S1 (step 1) is identical with that of S4 causing an exchange (B) in which that fact is pointed out by the teacher; and Step 3 cannot be completed at first try because of the same difficulty.

Step 2 also is not completed at one try because S4 does not supply an ending as required. It is interesting to note that the teacher's initiating move (exchange A) has set up two conflicting requirements; but it is not clear whether or not that caused S4 to abandon his attempt at a response. In any case, he is "put in park" to "have a think".

At this point, the text construction has fallen somewhat into disarray. In the orderly turn allocation by the teacher, only S1 has succeeded fully in satisfying the requirements; and that was achieved by interrupting Step 2.

The remainder of the segment consists of continuation of Steps 2, 3 and 4 as each child makes a successful bid for a time or is called upon by the teacher.

43 BEST COPY AVAILABLE

It is readily understandable why the teacher (at step 5) forgets that S1 fulfilled his requirements in Step 1 and went back over Step 1 in Step 5. In spite of the break down in the orderly development of this segment of the text, step by step, S3's objection to the repetition of Step 1 shows that he at least, has monitored the turn allocation process.

The most evident overall features of this segment of the text are the multi-dimensionality of the requirements placed on the children and the complexity of the task of the teacher as she provokes and monitors the development of a text towards which four children are making individual contributions. In the second part of the segment, she is virtually carrying on a conversation with three different children on three different topics simultaneously.

VIEW THREE: The linguistic analysis of the text

4.0 Linguistic analysis and text structure

The linguistic analysis of a text can be revealing, if the model for analysis is sensitive to the semantic organisation of its messages. We had wished to emulate Halliday's "silver text" (Halliday: 1985), but in the time at our disposal, only a very small part of the transcript was subjected to a partial analysis, most of which was concerned with cohesion. The analysis was carried out by Joan Rothery, and is in three parts: (i) Theme; (ii) lexical cohesion; and (iii) reference. This analysis covers the whole of Barbara Horvath's first segment and continues up to the first step of segment two.

4.1 Theme

The analysis of Theme highlights three semantic areas: time, participants of the discourse and demand for information (see table 2.6); in addition, there are occurrences of discourse theme, e.g., *right then, now* and *well now*. The temporal Themes reflect the progression from *last week* to *this time*. The *we* and *you* Theme have an interesting distribution: the *we* Theme is practically confined to the domain of last week's activities; *you* features with the activity now in hand. The Structural Theme *and* also displays an interesting pattern: it most frequently links up the various requirements being set up for the activity. Finally, the specific content requirement for contributions in segment 2 is set up by the thematization of *who*. (The Theme segments are italicized).

1. *Right then* now remember
2. *last week* I gave you a picture
3. *and we* talked about the picture
4. yes
5. *well now this time* we're going to do something different
6. *we're* not going to talk about the picture
7. *and you're* going to pretend
8. *you're* sitting in your house
9. *and it's* night time
10. *suddenly* you hear a knock at the door
11. *and you* will have to tell me what
12. *who* do you think it was who came to your house

13. and knocked on your door
14. who do you think it could be
15. your mother or father
16. coming to the house?
17. yeah . . . from work

Table 2.6: Theme selections

4.2 Lexical cohesion

The "time" chain carries the contrast between last week and this lesson and then the time of the context of the children's stories. The "picture" chain occurs only with *last week* in which a picture was the referent and the "talk/tell" chain carries the nature of the activity required of the children. The fourth chain "house" carries the prescribed context for the children's stories — someone knocked on the door of the house. Each chain has to do with a different dimension of the requirements being set up, except that the "house" chain follows and replaces the "picture chain" as the referent for the talk; and "night-time" relates to the "house" chain rather than to lesson time.

Note:
coll. = collocation
rep. = repetition
mer. = meronymy

Figure 2.7: Lexical chains

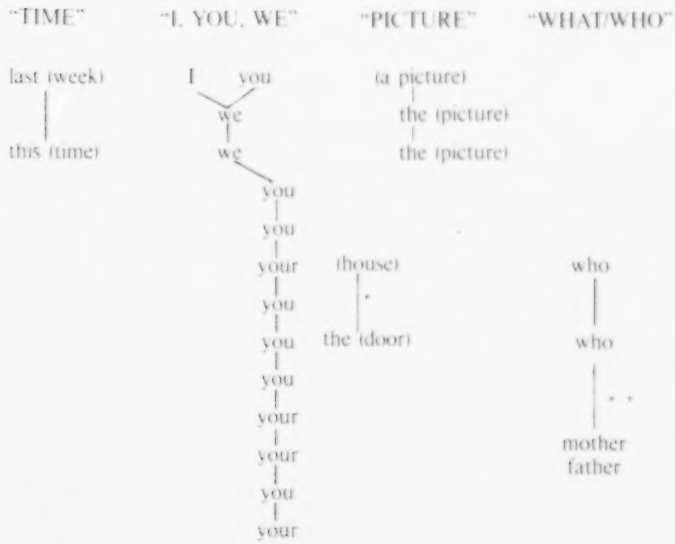
4.3 Reference chains

The analysis of referential cohesion reinforces what can be seen in the analysis of lexical cohesion. The "time" chain has to do with the contrasting of this lesson and last week's lesson. The "I", "you", "we" distinguishes roles in the activity, while the "you" chain links the succession of requirements being placed on the children; the "picture" and "house" chains follow one another as the referents of the children's contributions; the "who" chain holds in focus the specific first requirement, which, as can be seen at the end, is initiated by the first respondent with "mother" and "father".

The several requirements stated in the text analysis as being set up for the children are supported by these cohesion analyses, except that the teacher's role is not made overt — after the early "I", "you", "we" references, there is no "I/me" chain.

It would be interesting to complete these cohesion analyses for the remainder of the text, especially for Segment 3, in which the teacher re-orients the children; but time did not allow that to be done at the workshop.

Figure 2.2 displays the reference chains in the part analysed.



Note:
* "bridging" reference
** "instantial" reference

Figure 2.8: Reference Chains

VIEW FOUR: Applying the Sinclair & Coulthard model

5.0 Introduction

The analysis of 'Knock on the Door', a spoken text transcribed from a four-minute videotaped segment of a writing lesson in a Primary School, follows in this section the principles set out in Sinclair & Coulthard's Towards an Analysis of Discourse (1975) as closely as possible. The advice given by John Sinclair has been invaluable in performing the task, although he cannot be held in any way responsible for any of the vagaries the final product may have. On his advice I have introduced the terms 'challenge' and 'engage', but as I have not had the opportunity to read Teacher Talk (1982) in which later research into classroom discourse at the University of Birmingham has been recorded, the approach here is fundamentally that of the earlier studies.

5.1 Conventions for analysis.

The conventions used in the following transcription and analysis are fully explained in Sinclair & Coulthard (1975). A brief guide to relevant notions is presented below for ease of reference.

a: Ranks: five ranks are ascribed to classroom discourse; these are in descending order:

Lesson
Transaction
Exchange
Move
Act.

b: Abbreviations: the following abbreviations are used to label the units:

m = marker	ms = metastatement
s = starter	el = elicit
eng = engage	rep = reply
b = bid	d = directive
com = comment	ac = accept
n = nomination	Ø = no significant response
NV = nonverbal 'act'	/ = cancelled 'acts'
e = evaluate	

c: Boundaries are indicated as follows. Transactions are separated from each other by a double horizontal line; Exchanges, by single horizontal line. Acts are indicated as shown in b above, in columns labelled "Act". To read the analysis, begin from the left "Exchange type", move to column two, "Opening"; the nature of the Opening Act is described in the next column "Act"; the response to the Opening act is column four, labelled "Answering", whose Act status is described in the subsequent column. The last two columns are reserved for "Follow-up" Acts and their labels. Thus each horizontal line contains a closely related set of messages passed between the teacher and the pupil(s).

5.2 The analysis

The analysis of the text is presented in tables 2.7 and 2.8, each representing one transaction.

Exchange Type	Opening	Act	Answering	Act	Follow up	
Boundary (taken by students as Elicit)	T: Right then now. FRAME	m				
	Remember last week I gave you a picture and we talked about the picture? FOCUS	ms (taken as el)	ALL STUDENTS: Yes	rep		
Boundary	T: Well now. FRAME	m				
	This time we're going to do something different. We're not going to talk about the picture and you're going to pretend you're sitting in your house and it's night time. FOCUS	ms	S4: Hn	eng		
Elicit	T: Suddenly you hear a knock at the door and you will have to tell me what who do you think it was who came to your house and knocked on your door. Who do you think it could be?	s el	S1: Your mother or father?	rep		
Elicit (challenge)	T: Coming to the house?	el	S1: Yeah ... from work.	rep	T: Oh! Oh yes, could be.	ac
Re-initiation	T: NV (inferred)	el	S4: Aah ... A robber.	b rep		
Elicit (challenge)	T: Oh! Do you think a robber would knock on the door?	el	S4: Yes.	rep		
Elicit	T: What would you do then if a robber knocked on the door?	el	S1: Don't listen.	rep		
Direct (challenge)	T: Sh sh.	d	S1: NV.			
Elicit	T: NV (inferred)	el	S4: I won't I w won't open it.	rep	T: You wouldn't open it?	e
Elicit (challenge)	T: What what how would you know it was the robber then?	el	S2: Lock everything.	rep		
			S4: Because ... um.	rep		
			S3: You look out the window.	rep		
Direct (challenge)	T: Sh sh.	d	S2 & S3: NV.			
Elicit	T: NV (inferred)	el	S4: Um ... because your Dad and your Mum is still asleep and your sister and brother are still asleep except you.	rep	T: Oh! Right oh.	e

BEST COPY AVAILABLE

			a.a. and you look through the window and if if he's got a mask that means it's a robber			
Elicit	T: Who do you think well what do you think yours could be, this knock on the door?	e1	S3: A stranger	rep	T: Yes	ac
Elicit	T: and why would he knock on your door?	e1	S3: 'Cause he wants to um kidnap you ... kidnap	rep	T: Kidnap you?	e
Re initiate	T: NV (inferred)	e1	S4: Oh some or he might have a knife in his pocket and kill you	rep	T: Oh my goodness?	e
Elicit	T: Oh who do you think might be coming to your door, A1?	e1 n	S2: Our cousin? Then they live in a shop 'cause every time they go they shut the shop tonight and they come to our house	rep	T: Oh?	e
Re initiate (unintended by teacher)			S2: Not every every time	rep	T: No	ac

Table 2.9: Analysis of Transaction 1

Exchange Type	Opening	Act	Answering	Act	Follow up	
Boundary	T: All right well FRAME I want you to tell me the story when you write it. I want it to have a beginning who knocked on your door and then I want you to tell me why they knocked on your door and then an ending. FOCUS	m ms				
Elicit	T: Now, what do you think would be the end of your story Chris?	m e1 n	S1: A robber S2 or S3: Wind	rep rep	T: Are you going to have a robber too?	e
Elicit	T: What's going to be the end of the story?	e1	S1: He killed me	rep	T: Oh my goodness?	e
Elicit (including a delayed response to previous eliciting exchange embedded within it)	T: All right then Nadir What do you think would happen to your end end of your story? Who who's going to knock on your door?	m,n s e1				

			S1: And he stole the money.	rep	T: And he stole the money.	ac
			S4: Aah.			
Direct	T: Well have a think.	d	S4: NV.			
Elicit	T: Adam, what do you think will happen?	n e1	S3: The same as Chris.	rep	T: Oh.	e
Elicit (challenge)	T: Couldn't you think of something different?	e1	S3: NV.			
Elicit	T: A1, what's going to happen when your cousins come? Why did they come?	n s e1	S2: Because they came to visit us.	rep		
Elicit	T: And what will be the end of your story?	e1	S2: 0			
Re-initiate	T: Adam	e1	S3: 0			
Re-initiate	T: All right Nadir	m,n	S4: But I killed him	rep		
Elicit (intended as an acceptance)	T: You're going to kill him.	e1	S4: Yes.			
Re-initiate (again meant as an acceptance)	T: That's going to be the end of yours.	e1	S4: But I killed him.	rep	T: Oh you killed him.	ac
(delayed response from earlier exch.)			S3: He knocked me unconscious and then he stole the money.	rep	T: Too! Goodness me!	e
Elicit	T: And I'm Chris what's going to happen to yours?	com,n e1	S1: 0			
	What happened?	e1	S3: He already said.	rep	T: I'd forgotten.	com
	What happened?	e1	S1: He killed me and he stole the money and the jewellery.	rep	T: Oh h h	e

Table 2.10: Analysis of Transaction 2

5.3 Comments

The most striking outcome of this analysis is the confirmation it offers of the power and appropriateness of the descriptive instrument devised by Sinclair and Coulthard. Clear evidence of the IRF (Initiation, Response, Feedback) structure in classroom discourse was found. The analysis organized the text and revealed the underlying significance of participants' contributions to the discourse in a most satisfying way.

There were features of this text, however, which distinguished it from those discussed in Towards an Analysis of Discourse. The class was very small.

Encouraged at times by the teacher, individual children could take greater responsibility in choosing to speak, often without making a prior bid to take a turn. This led at times to what I have described as 'embedded' answering moves when a pupil, without an immediate signal from the teacher, provided a delayed response to a question while an exchange with another pupil was still in progress. As this occurred more than once and was accepted by the teacher as an unexpected but not unwelcome contribution to the lesson, some more settled procedure for dealing with this exchange type seems called for (as exchanges aborted by the teacher's 'Sh sh', for instance, are). A problem in representation was posed, too, by simultaneous utterances. And one further important distinction between small group discourse and that examined in Towards an Analysis of Discourse is discernible in the relative paucity of act types assignable to pupils compared with those available to the teacher. There were, I felt, significant differences in the nature of pupil replies leading to different kinds of follow up by the teacher, but these differences could not be conveyed by this analysis.

That the teacher accepted unsolicited responses was partly a reflection of teaching style and subject, as well as class size. The age of the children and their familiarity with the situation are also contributory factors in the forming of the discourse. N (S4) not only has more to say than A (S2) (73 words compared with 35), but the more fully formed IRF exchanges he participates in confirms the pedagogical intuitions we had as observers that he 'knew the ropes', understood the conventions of this classroom genre and the teacher's expectations much better than the other pupil. On this matter of age and familiarity with the genre, it is interesting to note that the pupils misinterpreted the teacher's evaluative or accepting follow up moves as eliciting moves on a number of occasions. This meant the creation of new exchanges in the description and points to the power the hearer has in communication. Sinclair and Coulthard comment (1975, p.115), that 'inside the classroom the single speaker is in control of the many' and this is true of the social situation, but when it comes to the creation of shared meanings in this lesson, it was the pupils who more often determined the exchange boundaries and whether the IRF pattern was carried to completion. Where there was conflict between teacher's and pupil's view of the status of an act, it was usually the pupil's which took precedence. On the other hand all exchanges were initiated by the teacher. The one occasion on which a pupil gave information to the teacher (S3: 'He already said') I've chosen to represent it as an answering move rather than an opening move of a Pupil Inform exchange as the model allows. The pattern is overwhelmingly one of teacher in control through questioning; to give initiative to a pupil would have been to highlight a minor variation unnecessarily. One further indication of the pupils' age was their misinterpretation of the opening move of the first boundary exchange as an elicitation, probably because it was couched in the form of an interrogative. Normally in Sinclair and Coulthard's description there should be no answering or follow up columns for framing and focussing moves. It may be significant that in the second transaction the normal pattern was re-established.

The question of units in discourse is raised by this text. As observers our first reaction to the lesson segment was that it was a single 'motivation for writing' phase. Analysis indicated two transactions, and by that time we had recognized an important pedagogical division in the lesson corresponding with the mid-text

boundary exchange. It was an encouraging sign of interlocking of the two descriptions. Yet the videotaped session clearly could not be classified as a full lesson in itself. At the risk of unnecessarily complicating the model, this text may suggest that a rank between transaction and lesson (corresponding with the curriculum notion 'preparation for task' or 'motivation' here) could be a useful option.

OVERVIEW: Integrating the analysis

6.0 Do the analyses integrate?

The important question facing the group was: do these analyses integrate? And if so, what is the basis of this integration? I hope to show that these analyses do integrate; and that the basis of integration — with a modicum of disclaimers — lies in the concept of realization.

Very simply, the concept of realization is concerned with 'access' to meanings. Thus one order of abstraction becomes accessible through the examination of phenomena of a second order. Looking at it from the opposite direction, we would say that the phenomena of the second order 'construct' those of the first order. Thus if in View One, Christie's analysis shows the contextual considerations relevant to the management of a lesson, then the linguistic structure of the text should in some way relate to those considerations; and, one may go on to add that it is the linguistic structure of the text produced in the management of a lesson that is, in the last resort, instrumental in maintaining precisely the kind of ideology about curriculum which is enshrined in the many documents and which is reinforced by the many practices in the over all pedagogical environment.

6.1 Views one and two

From an introduction of the higher order contextual considerations, Christie proceeded to construct a schematic structure for the lesson (see table 2.1, particularly the bottom line, which sums up Christie's schematic structure for the lesson). In view two, Horvath's analysis concentrates on how the text developed, by looking at its linguistic realizations. The units established by the two analyses can be set side by side as follows:

View One: Christie	View Two: Horvath
Orientation	Segment 1
Task specification	Segment 2
Turns	
Task re-orientation	Segment 3
Task invitation	
Turns	
Task closure	Segment 4

Table 2.11: Views one and two

What are the linguistic bases for such segmentation? In the Horvath sub-group, segmentation was based on:

(1) Orientation for two requirements.
(2) Application of those two requirements.
(3) Orientation for three requirements.
(4) Application of those three requirements.

This appears to be a teacher-planned segmentation; but it is based on recognition that the children have to, and do, respond to two types of task demands in Segment 2; and to three types in Segment 3. Both the Horvath and Christie analyses reveal that the children's responses are evaluated against two sets of criteria in Segment 2 and against several criteria in Segment 4. Moreover, the interaction process changes fundamentally from Segment 1 to Segment 2 and Segment 3 to Segment 4.

It may be appropriate to comment in more detail on the three dimensions of meaning-making revealed in the Horvath analysis (and referred to also in the Christie analysis) which served as criteria for evaluation by the teacher of pupil responses. They were:

(a) Content: Appropriateness to Contexts,
(b) Turn taking within Interaction, and
(c) Story Structure.

(a) Content: Appropriateness to Context

The context of the events to be recounted was prescribed as "pretend" and "night time" (by which the teacher seemed to be suggesting "unusual" or "scary") and the train of events had to arise from a "Knock on the door". The contribution of each child was challenged if it did not satisfy those criteria. For example, "mother and father" was challenged as not being associated with "Knock". "Cousins" was also challenged, probably as not being "scary".

(b) Turn-taking within Interaction

The interaction process, presumably that used in previous session, is that the teacher will set up a question and then ask for a response from each child in turn. Thus the teacher allocates the turn, with the children expecting that each will get a turn. Two children were "shushed" for wrongly taking a turn; the teacher had to adjust to two instances where a child came in with re-framed "respond", at an inconvenient time, after they had earlier been put on "hold". At least two of the children had trouble handling this requirement.

Nevertheless, the turn-taking set up for the lesson was realised in the "Steps" distinguished in the text analysis. Each Step initiated by the teacher served to take the interaction on to a different child.

(c) Story Structure

This requirement, for meta-meaning expressed in meta-language ("beginning", "why" and "end") was added in Segment 3 and was a requirement for interaction in Segment 4. As the teacher controlled the text-making in Segment 4, she seemed to lose sight of the "Why" or middle element; and in Segment 4, one child came forth with his "beginning" the element which was required in Segment 2. Nevertheless, "repairs" were made to rectify those aberrations. Those "repairs" were the business of negotiation within the exchange within a particular step. The text analysis, therefore, clearly integrates with the Christie lesson analysis in that every discourse exchange in Segments 2 and 4 was a realisation of the prescribed interaction procedure and each initiating and responding move was directed towards realisation by the children of the categories of meaning prescribed by the teacher; and every feedback move was a reaction in terms of the criteria set down in the previous segment of the lesson. In general, it may be said that the

realisation of the structure of the lesson, identified by the Christie analysis, is found in the Horvath steps, moves and interactive functions.

6.2 View four

Similar comments can be made about McCausland's analysis, following the Sinclair & Coulthard model. It overlaps with Christie's exchanges and interactive functions by setting out the text structure in discourse terms. That analysis of discourse and taxonomy of categories do for the text structure what the Horvath analysis does for Christie's lesson structure. So the combined analyses run from classroom genre (related to curriculum type) to lesson structure to text structure and finally to moves and acts and their pragmatic purpose realised by main clauses.

Mike McCausland looked in more detail at the correspondence and lack of correspondence in segmentation across the first three analyses, and his comments include:

> "It seems to me that we don't have a close enough match with (the Christie) description to be able to say that curriculum features are realised by a limited number of identifiable, specific exchanges or moves; and "acts" are still more detailed and remote from her general schema. I'm inclined to believe now that, despite the clear evidence in this text for a "curriculum orientation" box, that it shouldn't be where it is. As (Christie) points out, presuppositions about the curriculum/the value in doing language arts lessons in a particular way, etc., permeate the whole lesson. Perhaps "The Curriculum" is a higher rank system (or systems) and we are concerned immediately with the "Task" rank. Also I would see (Christie's) "invitation" and "turns" boxes (and "orientation" "specification" boxes) united, because the IRF structure I used demands their co-presence within an exchange. Not until we get to the lower ranks of move (iv) and act (v) does Sinclair's model distinguish between "invitation" and "turn" etc.

He then went on to modify the Christie schema, moving "Curriculum Orientation" to a rank above "Task Orientation", "Task Specification", "Task Closure".

It can be seen that the modification McCausland has made to the Christie schema in order to incorporate the schema of his analysis, makes the lesson schema exactly co-incide with the text schema developed in the Horvath analysis; the Horvath comment that Segments 1, 2, 3 and 4 seem to form a larger segment which re-occurs is taken into account. Consequently, the schema of the three analyses integrate, providing that "curriculum orientation" is taken as a higher rank system.

Within that schema, the Horvath analysis provides a "step" structure, motivated by requirements for meaning-making at the levels of content of the children's responses, participation in the interaction and story structure. This kind of analysis adds to the Sinclair-type analysis reasons why the participants did what they did, just as Christie's analysis of the curriculum genre provides a higher order motivation for the shape of the lesson — how and why it develops as it does.

In Hallidayan terms, it has to do with the semantic potential of the discourse:

and it gives further insights into the structure of the text, and why the text is so structured. In that respect, it deepens the Sinclair-type analysis, while integrating with it. Discrepancies between those two analyses in respect to moves and interaction function are not significant — the Horvath analysis is extended in the direction only to link up with rather than replicate what the Sinclair-type analysis would reveal.

CHAPTER THREE

ON THE ANALYSIS OF EXPOSITION

*J R Martin (Convener)
*P Peters (Co-convener)
M Clyne
R Borel de Bitche
R Eagleson
R Maclean
J Nelson
J Smith

1. Exposition and narration

Narration is concerned with what happened, often from the point of view of participants involved in what happened; exposition, on the other hand, is about the way things are, from the perspective of the observer. The difference between these two broad generic categories is learnt very early by children in school. Attention will be drawn here to some of the outstanding differences by an examination of texts produced by children. Texts 3.1-5 were selected by Joan Rothery from a corpus of texts collected by her, and in conjunction with Cate Poynton and Jim Martin as part of an ongoing research project on the development of children's writing in infants and primary school. Text 3.6 was contributed by Pat Warren, while 3.7 is used by the kind permission of Geoffrey Crewes. It formed part of the data he analysed for his M A thesis (Crewes:1980).

Consider the following two texts by young writers in year 2 of an infants school in NSW: 3.1 is a recount (Martin & Rothery:1980:1981 for categories used below for description); text 3.2 is a report — an early form of expository writing.

1. a. On Sunday my father bout us a puppy
   b. and we cout the puppy Jesey
   c. and I went to the shop
   d. to get a tin of dog food
   e. then I went back home
   f. then the puppy came to play wi with me
   g. then my mum coud me in sld
   h. to hath me dinu
   i. and I tod my mum I hatht put the dog in his box.
   j. I went in sld
   k. and then I had my dinu
   l. then my mum gathe me a drick.
   m. Then the puppy went to sleep
   n. and I went to sleep
   o. and my mum came
   p. and tuc me in
   q. then my mum went to sleep.

Text 3.1: Recount

2. a. Snails have a shell on their back
   b. to protect them selfs form enemy
   c. they like to hide behind a rock
   d. and it leavs a silvery track behide him.
   e. A snail has a strong foot.
   f. They stick to the ground fermilee.

Text 3.2: Report

Here two principal differences between narration and exposition are illustrated. Text 1 recounts a series of events about the writer getting a new puppy. And the recount is told from the point of view of the writer herself: the 'I' who experiences the story's events. Text 2 is about snails; not about a particular snail, but snails in general. And it is told from the point of view of an uninvolved observer. The writer does not appear in his text; he simply states the facts.

These observations about the nature of narrative and expository writing are not definitions; neither are they attempts to characterise narration or exposition in terms of their function. Rather they are generalisations about a number of linguistic patterns which members of our culture conventionally and repeatedly combine. The more important of these patterns are set out in Table 3.1 below. When texts are described as narration or exposition it is because they tend to exhibit all or most of these linguistic features (C. F. Taylor, 1983).

	Linguistic pattern	Narration	Exposition
I:	**lexicogrammar —**		
	1. grammar:		
	logical (clause complex)	complex; paratactic extension & enhancement	simple; paratactic extension & elaboration
	participant (nominal group)	concrete; specific	concrete & abstract; (facts); nominalisation
	process (verbal group)	individual; past	general; timeless (simple present)
	circumstance (adverbial group & prepositional phrase)	location: time & space	location; cause & manner
	events/states (clause)	material	material (timeless) & relational
	2. lexis:		
	lexical item	concrete; non-technical	concrete or abstract; technical
II:	**discourse**		
	reference chains	human; 1 & 3 person	nonhuman; 3 person; (shorter) text reference
	lexical strings	non-taxonomic; expectancy & process/medium	more taxonomic basis
	conjunctive relations	external; temporal succession	internal and external; varied, including consequence and comparison
	interaction patterns:		
	method of development	hero; setting in time & place	orientation to subject matter; form of argument
	cohesive harmony	participants & actions	object of inquiry & qualities

Table 3.1 linguistics characteristics of narrative vs. expostion (provisional hypotheses at this stage; to be read as tendencies)

Our interest, here, is in exposition, which differs in most respects from narration as text 3.2 shows. The text is about snails in general, not one particular snail. And when in clause d, the author appears to slip into a singular mention *it*,

BEST COPY AVAILABLE

his teacher corrects this. It is interesting, though, to note that the teacher does not go on to correct the *him* in the same clause to *them*. The text uses timeless simple present tense; it does not locate itself in any particular time; it includes relational clauses of possession along with timeless action clauses; it uses slightly less familiar lexis, e.g., *silvery*; it is about things, not people; it is organised in terms of cause, not time, using simple clauses or short clause complexes. For example, purpose links clauses a and b; and there may be an implicit causal relation between e and f. It is organised in terms of what a snail is and does: note that the snail appears in thematic position in all but the second clause, and the author is never the Theme. Texts 3.1 and 3.2 differ in the linguistic patterns chosen in almost every respect (see Table 3.1 above), thus reflecting a polarisation of narrative and expository genres in our culture. This kind of polarisation has far reaching consequences for education (Lemke:1982).

Two misunderstandings about the nature of exposition should perhaps be cleared up. The first is about the difference between exposition and description. Description has to do with assigning qualities to participants and processes. The principal structures used to describe participants involve Epithets (e.g. *a big park*) and Attributes (e.g. *The park is big.*); processes are normally qualified with adverbs (e.g. *struck fiercely*). Description itself is not a genre — people do not write pure description unless they are specifically told to do so, as a kind of exercise. Rather, descriptive passages are found in many genres. They are relatively rare in the texts produced by young writers; there, writing is almost always accompanied by a picture which does the work of Epithets and Attributes. In text 3.3, description is included in an Observation comment text from year 2; in clause d the writer tentatively describes the height of the Centre Point Tower.

3. a. When we were on the bus
   b. I liked the navy boats
   c. I saw the yellow centre Point
   d. I think it is 20038 metres up
   e. I think the excursion is fun
   f. We had lunch in lady Macquaries Chair

Text 3.3: Observation comment

In text 4, a brief recount from year 2, a longer descriptive passage is included (clauses b to f). The passage is not very successful; the teacher in fact misinterprets it entirely. But taken in conjunction with the accompanying drawing, on which it depends for an interpretation, it makes some sense.

4. a. Last Monday after school my nan mooft in to a flate
   b. and they have nuder 8
   c. and there is a big big big big park
   d. and it has got a rifue
   e. and there is a big biger won then the brige
   f. and there is a biger brig than the ather wane.

Test 3.4: Recount

(accompanied by a drawing of two bridges, one big, one small, with the writer on them, smiling on the small one and screaming on the large.

Although descriptive passages resemble many expository ones in that they favour relational clauses, there is a clear difference between the two types of writing. Descriptions are about individual participants and what they are like: a certain tower is so high, a certain park is big and has two bridges in it. Expository texts are about generic participants — whole classes of individuals: snails in general have a shell and a strong foot, not just one particular snail. Description may in fact occur in exposition: when it does, it will be in the context of exemplification or proof (for example: *Cats are black and white. I have a cat and it is white.*). Exposition is about the way things are; description is about some particular event or thing.

The second misunderstanding has to do with the impersonal nature of expository writing. It is possible to characterise expository writing as impersonal because of the severe restrictions it places on the expression of attitude by the writer. There are two main ways in which attitude is expressed in English. One is by using 1st person in conjunction with mental process verbs of reaction: for example, *I liked* in 3.b. The other is through attitudinal lexis, typically functioning as an Attribute in a relational clause; for example, *the excursion is fun* in 3.e. (or as an Epithet in nominal groups in mature writing).

Expressing attitude is a characteristic feature of texts like 3.3 and these structures abound in the Observation/comment genre. In exposition, however, 1st person mental process verbs of reaction and attitudinal lexical items are very rare. The writer's attitude cannot be expressed directly in these terms. This does not mean however that the writer cannot have opinions. He can. But when these are expressed in exposition, they must be expressed rather differently than in Observation/comment writing or in casual conversation.

Consider for example text 3.5, taken from the same writing situation as text 3.2.

5. a. Snails carry their homes on there back
   b. They have a very slimy foot
   c. to grad onto leaves
   d. They are also a good meal for birds
   e. Some times you can make them race up your arm
   f. Snails have a shell
   g. and their eyes are up on there feelers
   h. but if you touch them
   i. the snails shoot back in again
   j. There shelter is a larg stone
   k. Frogs eat snails
   l. so it is good to have a frog in your garden

Text 3.5: Report:

This text, unlike text 2, contains two attitudinal items — *good* in clauses d and l. The first *good* does not really express the writer's opinion; it is the birds who like to eat snails, not her. Many of the attitudinal items which are found in exposition are in fact of this type. They express other people's attitudes and opinions, not the writer's. The second *good* does in fact express an opinion of the writer's. She thinks it is a good idea to have a frog in your garden (this statement in fact reflects another of her attitudes: prejudice against snails). However, note that in

two respects, the expression of attitude is depersonalised. First, it is expressed in an impersonal clause *(it is good to have* not *I like having)* this gives it the air of a universal truth, not an individual's opinion. And second, the attitude is expressed in the environment of a causal conjunctive relation: attitude is expressed in conjunction with the reason for holding that attitude. This is again typical of expository writing. Whenever the writer's attitude is overtly expressed, it must be defended. Reasons must be given for holding a belief.

The two expository texts considered to this point, text 3.2 and 3.5, are examples of report writing. Exposition proper differs from reporting in that it presents a thesis, along with supporting argumentation. Reports do not argue for anything; they simply report the way things are. Expositions on the other hand make a point. Text 3.6 clearly exemplifies this difference between reports and exposition; it was produced in response to the following question set to year 10:

Are Governments necessary?
Give reasons for your answer.

6. a. I think Governments are necessary
   b. because if there wasn't any
   c. there would have been no law
   d. people would be killing themselves
   e. They help keep our economic system in order for certain things
   f. If there wasn't no Federal Government
   g. there wouldn't have been no one to fix up any problems that would have occured in the community
   h. Same with the State Government if the SG didn't exist
   i. there would have been no one to look after the schools
   j. vandalism, fighting would have occured everyday
   k. The local Government would be important
   l. to look after the rubbish
   m. because everyone would have diseases.

Text 3.6: Exposition:

A thesis is presented — *Governments are necessary* as an opinion of the writer, although this might have been avoided. Another writer in the same writing context began his exposition as follows: 'The following paragraphs states why or why not Governments are necessary.' (but text 6 does begin less personally than it might have; none of the students in this writing situation began their essay — 'I like Governments because . . .'). Then reasons are given for supporting the thesis. First reasons are given in favour of governments in general; then for having governments at each of the federal, state and local levels. This conjunctive structure of text 3.6 is set out in Fig. 3.1. The density of the causal relations displayed there is untypical of more mature exposition, where each argument would be more fully elaborated (cf. text 3.7 below).

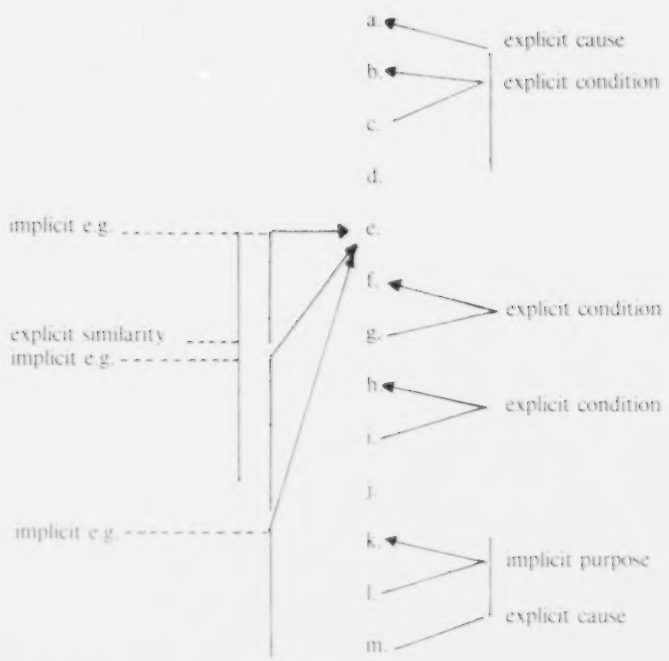


Fig. 3.1 conjunctive relations in text 3.6

2. Exposition: The analysis of an example text

At this point, we may think of exposition as belonging to two different types; this division is based on the nature of the thesis proposed. In one type, the thesis is a moral one, concerning itself with whether a certain state of affairs is right or wrong, good or bad, and perhaps, whether there is something political to be done about it — or some action to be taken. Examples of this type would include editorials, letters to the editor, sermons, political speeches and debates. Text 3.6 was an example of moral exposition, with an implicit appeal for action.

In the second type of exposition, the thesis is factual: it concerns itself with the way the world is, true or false. This type of exposition is found in lectures, seminars and most classroom teaching, scholarly papers, essay writing and examination answers. We shall refer to this type as factual exposition, and the main part of this paper will be concerned with the analysis of an example of this type of exposition, after which a more detailed subclassification of exposition will be presented in section 5. We turn now to text 3.7.

The text is taken from a Year 10 English class in an all boys Catholic High School in Sydney. It was written at the end of a theme concerning racial

prejudice. Students were warned that they would be writing an essay, under conditions simulating those experienced during the High School Certificate examination process. Text 3.7 is one of the more successful pieces of writing from this situation. The author is a native Australian, from an English speaking family, who went on to qualify for entrance to an undergraduate program at the University of Sydney. The topic given, at the time of the writing, was as follows (from Crewes, 1980):

'Write an essay on what you think are the problems faced by ethnic minorities and how these problems can be overcome.'

Note that the wording of this topic is probably less clear than the teacher intended. At one level of interpretation it simply asks the student for factual exposition on two questions: what are the problems; and by what means can they be overcome.

But with the modal auxiliary *can*, there is a potential ambiguity in the second question. Like other modal auxiliaries, it may have either modality or modulation value vested in it. As a marker of modality, it would communicate the (high) level of probability to be attached to the proposition, and leave the student free to respond with factual exposition. As a marker of modulation, however, it would infuse the proposition with a particular degree of obligation or inclination (median to high), and responding to that engages the student in defending the proposition itself, and in a more persuasive type of exposition.

The student's answer was as follows; the paragraph boundaries are indicated by wider spacing.

a. Today in Australia there are many problems in the area of racial differences.
b. Many of these have to be overcome.
c. The main problem is that all races are different socially, culturally and linguistically as well as physically.

d. The first problem to be solved is that Australia is the most cosmopolitan country in the world today.
e. Many people have brought their way of life with them from overseas.
f. With this there is a major problem of language — a communication gap.
g. Itself a problem,
h. causes others.
i. Communities of migrants begin to exist because of language differences.
j. Everyone in that community can communicate with each other.
k. Another problem arises as well.
l. People born in Australia able to speak English feel threatened by the fact that people nearby are conversing in a foreign language.
m. Discriminatory acts occur
n. and this tightens the small ethnic communities.
o. The problems of social and cultural difference is another problem facing Australia.
p. People cannot understand certain acts or customs that migrants bring from overseas.
q. The feeling of being threatened arises once more
r. as the man across the way does something we do not understand.

s. These problems can be solved by teaching.
t. Language courses should be taught
u. but not pure English;
v. types of dialects should be included depending on which state and city the person wishes to live in.
w. Culture should be made one
x. but other cultural activities should not be discouraged.
y. Migrants should be taught about Australia
z. before they step onto the soil of her land.

aa. One problem that is unsolvable is the physical differences among the different races.
bb. Noone can expect to go out into the street
cc. and make everyone look exactly the same skin and hair colour with magic.
dd. Everyone is unique
ee. and this problem will destroy most of the hope of making Australia a place of non-discrimination.
ff. Skin colour just cannot be changed
gg. to suit the environment.

Text 3:7 Factual Exposition

The linguistic patterns in the text will be analysed from several different angles: TRANSITIVITY, THEME, REFERENCE, CONJUNCTION, LEXICAL COHESION, method of development (Fries: 1983), and its nominal group structure. The lexico-grammatical analysis will be based mainly on Halliday (1985), and discourse analysis on developments of Halliday & Hasan (1976) by Martin (1983), Martin & Rothery (1980, 1981), Fries (1983) and Hasan (1978, 1979, 1984). This analysis will be followed by an examination of the text's register, and its schematic structure — the beginning, middle and ending of writing in this genre. Finally the question of the ideological orientation of the writer will be considered. Taken as a whole these analyses make public information about why the text is valued as it is by members of our culture. Some consideration will also be given to how this text could be reworked in a more prestigious way.

3.0 Grammatical analysis: The clause

The text is divided into four paragraphs. Each of these can in fact be related to the overall schematic structure of the text. The first paragraph (a-c) functions as an Introduction. The second paragraph (d-r) discusses Solvable Problems having to do with social, cultural and linguistic difficulties. The third paragraph (s-z) presents the Solution to the solvable problems. And the fourth and final paragraph (aa-gg) is concerned with the Unsolvable Problem of physical differences between the races. This structure is in part predicted by the Introduction. Clause b states that many of Australia's problems have to be overcome, thereby implying that some cannot be; thus the distinction between solvable and unsolvable problems. And in clause c, the paratactic adverbial complex *(socially, culturally and linguistically as well as physically)* 1|1+2|1+3|+2) symbolises the structure of the text overall by grouping social, cultural and

linguistic factors together, as distinct from physical differences. A further grouping of social and cultural differences as opposed to linguistic differences is also implied by sequence in this complex and by the use of *and (socially, culturally and linguistically)*. The Introduction could have been more explicit about the structure of the text as a whole. Keep in mind however that the essay was written in a one hour period, simulating exam writing conditions. So, the Introduction probably had to be written first, before the rest of the text; and there would have been very little time for the student to sketch an outline for his work; and the fact that the text's structure is implied at all is to the student's credit.

TRANSITIVITY and THEME in text 3.7 are analysed in Table 3.2. Only experiential Themes have been considered, and these are italicized in each clause (clauses h, cc and gg have no Themes because of their abbreviated structure). The processes, participants and circumstances in each clause have been labelled, using transitive categories (an ergative perspective is not presented here) taken from Halliday (1985). Embedded clauses have not been considered.

The results of the TRANSITIVITY analysis are presented by process type in Table 3.2.

BEST COPY AVAILABLE

8.	*Discriminatory acts*	occur			
	Actor	Process: material			
9.	*and this*	tightens	the small ethnic communities.		
	Actor	Process: material	Goal		
10.	*The problems of social and cultural difference*	is	another problem facing Australia.		
	Token	Process: relational identifying	Value		
11.	*People*	cannot understand	certain acts or customs that migrants bring from overseas.		
	Cognizant	Process: mental cognition	Phenomenon		
12.	*The feeling of being threatened*	arises	once more		
	Theme	Process: relational existential			
13.	*as the man across the way*	does	something we do not understand.		
	Actor	Process: material	Range		
Solutions to Solvable Problems	14. *These problems*	can be solved	by teaching		
	Goal	Process: material	Actor		
15.	*Language courses*	should be taught			
	Range	Process: behavioural			
16.	but not *pure English*				
	Range				
17.	*types of dialects*	should be included	depending on which state and city the person wishes to live in		
	Goal	Process: material	Circumstance: matter		
18.	*Culture*	should be made	one		
	Carrier	Process: relational attributive	Attribute		
19.	but *other cultural activities*	should not be discouraged.			
	Goal	Process: material			
20.	*Migrants*	should be taught	about Australia		
	Goal	Process: behavioural	Circumstance: matter		
21.	before *they*	step	onto the soil of her land.		
	Actor	Process: material	Circumstance: location: space		
Unsolvable Problems	22. *One problem that is unsolvable*	is	the physical differences among the different races.		
	Value	Process: relational identifying	Token		
23.	No one	can expect to go	out	into the street	
	Cognizant: Actor	Process: (phase): mental: cognition & material	Circumstance: location: place	Circumstance: location: place	
24.	and make everyone	look	exactly the same skin and hair colour	with magic	
	Carrier	Process: relational attributive	Attribute	Circumstance: manner	
25.	*Everyone*	is	unique		
	Carrier	Process: relational attributive	Attribute		
26.	*and this fact*	will destroy	most of the hope of making Australia a place of non-discrimination.		
	Actor	Process: material	Goal		
27.	*Skin colour*	just cannot be changed			
	Goal	Process: material			
28.	to suit	the environment			
	Process: relational attributive: circumstantial	Attribute			

Table 3.2: Process Type and Theme analysis for text 3.7

Just under half the processes are relational (ascriptive, identifying and existential), while just over half are action processes — 13 material and 4 behavioural. There are just 2 mental processes and no verbals. These figures, shown in Table 3.3, show a marked contrast with narrative texts, e.g., text 3.1 where 15 out of 17 processes involved material or behavioural action.

action: material	behavioural	signifying: mental	verbal	relational
13	4	2	—	15

Table 3.3: Summary of process types in text 3.7

In clause bb, the process *expect to go* was coded twice, once as mental and once as material.

A further contrast between texts 3.1 and 3.7 has to do with the kind of action involved. Where in text 3.1 the action concerns coming and going, eating, drinking and sleeping — concrete acts that one could physically perceive, in text 3.7 most of the action has to do with less tangible entities. The Process and Medium relations in question are outlined in Table 3.4:

Narration: text 3.1			**Exposition: text 3.7**	
Process	**Medium**		**Process**	**Medium**
buy	puppy	A	bring	way of life
go	I		occur	discriminatory acts
get	I		discourage	cultural activities
go	I	B	do	man across the street
come	puppy		step	migrants
call	me		go out	no one
have (dinner)	I		change	skin colour
go	I	C	overcome	problems
have (dinner)	I		solve	problems
give	me		cause	problems
go to sleep	puppy		solve	problem
go to sleep	I	D	tighten	small ethnic communities
come	mum		include	dialects
tuck in	I			
go to sleep	mum			

Table 3.4: Process and Medium relations in action processes in texts 3.1 and 3.7

The Process and Medium relations in text 3.7 have been divided into four groups (only action processes are considered here). In group A the Mediums are not really things, though they are dressed up as such in the grammar, but names for a broad range of concrete activities: *way of life, discriminatory acts* and *cultural activities*. In group B, although people and concrete acts are referred to, the context in each case is a generality: the writer is not referring to any particular person or event. In group C the Medium is a problem of some kind, an even more abstract participant than that in group A. And in group D the statement itself is metaphorical: you can't literally 'tighten' a community, or put a dialect into something. The metaphor is so ritualised in such expressions that its force is scarcely felt. Nevertheless it is there. The events in clauses n and v are not

tangible. As this kind of analysis reveals, the action processes in text 3.7 are not really actions at all, in the sense of something we can see or hear as in text 3.1. The actions are abstractions, involving people, places and things and their acts only at some considerable remove. The number of material processes found in exposition gives in one sense a misleading impression of something going on, unless this absence of concrete forms is kept in view (the timeless nature of the actions, as reflected in the selection of simple present tense or of MODULATION is also part of this picture; TENSE will not be further explored here).

One further aspect of the experiential meaning in text 3.7 needs to be considered; this is the presence of fact participants in the text. These are of two kinds: assumed facts and instantial facts. Assumed facts are simply taken as given by the writer; they are not up for argument as assertions he is responsible for. There are 3 of these in text 3.7, in clauses c, d and l:

c. 'all races are different socially, culturally and linguistically as well as physically'
d. 'Australia is the most cosmopolitan country in the world today'
l. 'people nearby are conversing in a foreign language'

Instantial facts are the writer's responsibility; the meaning associated with each is presented in an arguable proposition in the text itself; thereafter, it can be taken as given. In text 3.7, there are 3 instantial facts, found in clauses f, n, ee, where the writer uses the demonstrative *this* to refer to meanings previously coded as arguable propositions in clauses e, m, dd, respectively, as shown below:

Arguable propositions:

e. 'many people have brought their way of life with them from overseas'
m. 'discriminatory acts occur'
dd. 'everyone is unique'

Instantial facts:

f. with this (= e : many people . . . from overseas)
n. this (= m : discriminatory acts occur)
ee. this problem (= dd : everyone is unique)

Both types of fact are characteristic of expository discourse. In part they are important because they present information which cannot be questioned, making a writer's argument harder to attack. But beyond this, they impart an air of authority to the text. Not only do they present information which cannot directly be questioned (all embedded clauses do this — e.g., in q. *The feeling of being threatened arises once more*, the natural challenge is *Does it?* — i.e., *Does the feeling arise?* — not *Are they?* — i.e., *Are they being threatened?*). But as well they present information which is already a meaning (information which is true as a logician would put it). Whether or not this meaning is itself one the reader would make is beside the point. Facts strengthen an exposition simply by being there.

3.1 Discourse analysis

3.1.1 Lexical cohesion

The experiential content of text 3.7 is further developed in Table 3.5. There the nine principal lexical strings (Halliday and Hasan: 1976) which run through the text are outlined. Four of the strings, *problems*, *places*, *people* and *differences* run

through the text, appearing in each of its elements of schematic structure. The rest are more localised, reflecting the particular experiential focus of these elements. Note, to save space column six contains three strings.

	problems	**places**	**people**	**language**	**culture**	**physique**	**difference**
a.	problems	Australia	racial				difference
b.	overcome						
c.	problem		races	linguistically	culturally socially	physically	different
d.	problem solved	Australia country world	cosmopolitan				
e.		overseas	people		way of life		
f.	problem			language communication			gap
g.	problem						
h.							
i.			communities migrants	language			difference
j.			community	communicate			
k.	problem					**discrimination**	
l.		Australia nearby	people people	speak English conversing language		threatened	foreign
m.							
n.			ethnic communities			discriminatory	
o.	problems problem	Australia			social cultural ways customs		difference
p.		overseas	people migrants				
q.						threatened	
r.			man			**teaching**	
s.	problems solved					teaching	
t.				language		courses taught	
u.				English dialects			
v.		state city	person				
w.					culture cultural activities		one
x.							
y.		Australia	migrants			taught	
z.		soil land					
aa.	problem unsolvable		races			physical	difference different
bb.			no one				
cc.			everyone			skin hair colour	same
dd.			everyone				unique
ee.		Australia place			non discrimination		
ff.						skin colour	changed
gg.		environment					

Table 3.5 Lexical Cohesion in text 3.7

The *language* and *culture* strings appear in the Introduction, Solvable Problems and Solutions, but not in the Unsolvable Problems. Conversely, *physique* occurs in the Introduction and Unsolvable Problems. *Discrimination* is found in the Solvable Problems and Solutions elements. And *teaching* is found in the Solutions element. These patterns are outlined in Table 3.6:

BEST COPY AVAILABLE

	problems	places	people	differences	language	culture	physique	discrimination	teaching
Introduction	x	x	x	x	x	x	x		
Solvable Problems	x	x	x	x	x	x		x	
Solutions	x	x	x	x	x	x		x	x
Unsolvable Problems	x	x	x	x			x		

Table 3.6: interaction of Lexical Cohesion and schematic structure in text 9

Within the Solvable Problems section, the language string appears first, followed by the culture string. Thus on experiential grounds, paragraph 2 might have been split along these lines. The writer has decided however to let rhetorical considerations over ride this topical division, preferring to discuss the solvable problems together in one paragraph.

The *problems* string is in a sense the most interesting one, performing two functions. Like the other strings it serves to realise the field focus of the text (see discussion of field below). But as well it is used by the author to organise his text. It is for this reason that many *problem* items appear in thematic position. The analysis of THEME has already been presented (see Table 3.2).

Problems are selected as Theme in 8 clauses:

Introduction:	b	many of these (problems)
	c	the main problem
Solvable Problems:	d	the first problem
	g	itself (a major problem of language)
	k	another problem
	o	the problem of social and cultural difference
Solutions:	s	these problems
Unsolvable Problems:	aa	one problem that cannot be solved

Table 3.7: *problem* Themes in text 3.7

Even more significantly, problems are the Theme of the opening clause of each of the 2nd, 3rd and 4th paragraphs. This is because the writer has taken the division of problems into problems of different kinds as the basic organising principle of his essay as a whole. Unfortunately this is also the organising principle of paragraph 2 which leads to considerable confusion as to just which problems are being discussed at any given moment in that paragraph.

3.1.2 Reference

The source of the above difficulties lies in the writer's use of REFERENCE (Halliday & Hasan: 1976). The results of this analysis are presented in Fig. 3.2. The term 'chain' is used for referentially determined cohesion, and 'string' for the lexical ones. Unlike narrative, there are few long chains.

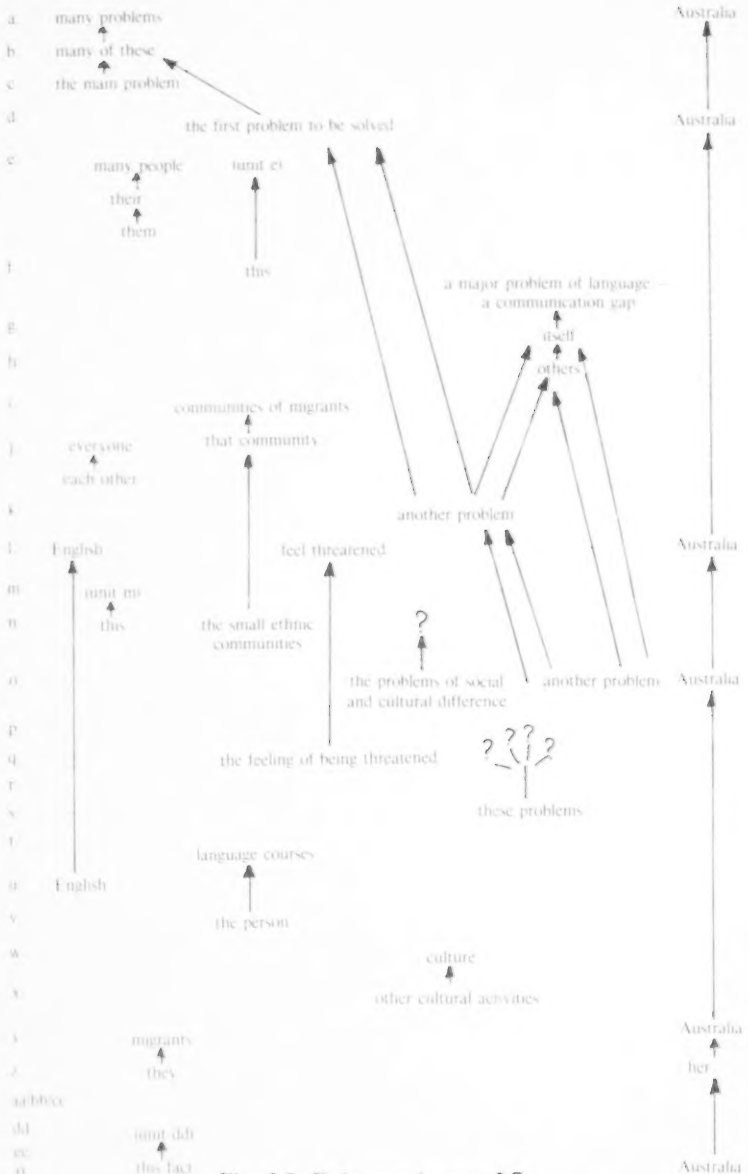


Fig. 3.2: Reference in text 3.7

Note that only the *Australia* chain covers the whole text. This is typical of exposition where generic reference is so common. Generic chains tend to be far shorter than ones referring to individuals. A writer may refer once or twice to a generic class with a pronoun (*the snail — it* or *the snail — they*; cf. texts 2 and 5 above), but normally the generic class is reintroduced in a nonphoric way before long. In text 3.7 for example, reference to migrants as a class forms only one short chain in clauses y and z (*migrants — they*), although they are referred to explicitly in clauses i and j, and as *people* in clauses e, l and v as well.

The aspect of REFERENCE which is relevant to the organisation (and disorganisation) in text 3.7 has to do with the problematic problem chains formed by the writer. These chains depend for their resolution on comparative reference rather than identity. The items involved are as follows:

b many of these (problems)
c the main problem
d the first problem to be solved
e a major problem of language
f itself (a major problem of language)
g others (problems)
k another problem
s these problems

Confusion arises because the last four of these are referentially ambiguous. As well, the referent of *the main problem* in c and *the first problem to be solved* in d is less than certain. What goes wrong?

Difficulties first arise in the Introduction. In clause a the writer introduces a set of problems. He does not tell us how many. Let us assume say 6, simply for the sake of argument, and call these P1, P2, P3, P4, P5 and P6:

P1 P2 P3
P4 P5 P6

In clause b the writer suggests that many of these have to be overcome — let us assume 4:

P1 P2 P3 P4 = problems to be overcome
P5 P6 = other problems

Then we are told that the main problem is that all races are different socially, culturally, linguistically and physically. It seems at first as if this main problem is one of our original set of problems — though it is not clear if it is a problem that can be overcome or not. However, the rest of the essay indicates that this may not in fact be the case. In retrospect it looks as though the major problem is not one of P1 to P6 at all, but is a general problem encompassing all of these. And it appears, again in retrospect, as though c is in fact identifying 4 problems:

PP1 — social differences
PP2 — cultural differences
PP3 — linguistic differences
PP4 — physical differences

In fact, cultural and social differences will not be distinguished in the essay; so we are left with 3 problems:

PPP1 — social and cultural differences
PPP2 — linguistic differences
PPP3 — physical differences

PPP1 and PPP2 are furthermore treated as solvable problems and opposed to PPP3 which is unsolvable. But let's turn back at this point from the product to the process and see what happens in paragraph 2.

There in clause d, the writer refers to 'the first problem to be solved'. An application of the COHESIVE HARMONY analysis will be revealing here. The concept of cohesive harmony (Hasan: 1979; 1980; 1984) rests on the interaction between lexico-referential chains, where the basis of the relation between members of two (or more) chains is 'experiential' (Halliday: 1985) in nature; for example members of one chain may be participant to another chain which contains process; or one may be location, the other chain process; or one chain may have epithets the other, thing. Because of the cohesive harmony between this clause and clause b, with *problem to be solved* echoing *problems to be overcome*, a first reading treats this first problem as one of those referred to as P1, P2, P3 or P4 from our original list. But as the paragraph develops, again in retrospect, we can see that being a cosmopolitan country is what in fact is responsible for socio-cultural and linguistic differences. So in retrospect, it looks like the first problem is one of PP1, PP2, PP3 and PP4; or, as it turns out, one of PPP1, PPP2 and PPP3. In fact, the first problem is probably PPP1 and PPP2 together, since these are the problems discussed in this paragraph which result from the cosmopolitan nature of Australian society.

As if this were not confusing enough, in f the writer attributes 'a major problem of language' to Australia being cosmopolitan. This problem has in fact already been introduced as PPP2; but now, the writer introduces it nonphorically as if it hadn't been specified before. Thus reintroduced, PPP2 is described as causing further problems. These further problems, PPPP1 and PPPP2 turn out to be the emergence of small ethnic communities (i & j) and the discrimination which results from Australians feeling threatened (k, l & m). PPPP2 in fact encourages PPPP1 (m). At this point the writer introduces *the problem of social and cultural difference*. This problem has also been introduced before — as PPP1 in clause c. And this time the writer treats it as already introduced (*the problem* not *a problem*). However, since linguistic problems were also introduced in c, but not treated as previously introduced in f, this reference is less successful than it might have been if PPP1, PPP2 and PPP3 had been treated consistently. By the time we get to *these problems* in s, extreme uncertainty prevails. In retrospect it looks like *these problems* refers to PPP1 and PPP2. But in process, it looks like PPPP1 and PPPP2 are candidates as well. In the final paragraph the writer introduces *physical problems* as if they had not been introduced as PPP3 in c, treating them as he did language problems in f.

Interestingly enough, this degree of ambiguity in the text's referential relations does not on first reading seem serious. Only retrospective analysis displays the level of uncertainty involved. Indeed, the problem Themes give the essay the appearance of being well structured. It was judged successful by the teacher involved. And it was selected from a number of comparable texts by consensus in the workshop because of its well structured appearance. All members of the workshop were surprised by its ambiguity when analysed in detail.

Why should this be? One factor involved is that on a quick reading, very little of the real argument in an exposition can be consumed. Since exposition is designed to bury its rationale, the appearance of orderliness gives texts a credibility on first reading that does not always weather sustained critique. When first reacting the reader is in the same (perhaps even a worse) position as the writer of the text — one simply has not time to get things thoroughly sorted out. Given the pressure of examination writing and marking, it would appear that clarity of organisation will be far more valuable to a student than clarity of rationale.

But there is more to the reader's favorable predisposition towards text 3.7 than this. Although there are serious problems with REFERENCE in the text, in other respects its organisation is very clear. Its paragraphs reflect a clear and purposeful schematic structure: Introduction, Solvable Problems, Solutions, Unsolvable Problems. LEXICAL COHESION reinforces this structure, with language, culture, teaching and physique strings centering their focus on one or another element of structure. And instantial and assumed facts are skillfully manipulated. The point is that one's reaction to a text does not depend on any single aspect of its structure. Where REFERENCE fails, other patterns of choice succeed. Readers moreover work on the assumption that texts are well structured and do make sense, and will go a long way in giving the benefit of the doubt to writers, encouraging resolvable patterns to preside over ambiguous ones. Text 3.7 is a successful text. It could certainly be improved. But it works in the context for which it was written, if not in the analyst's hands.

3.1.3 Theme

The writer's use of problems to structure his essay needs to be further considered from the point of view of THEME (Fries: 1983) Thematic position is exploited in three different ways in text 3.7. Firstly, it is used to globally structure the text. Problem Themes are found in clauses b, c, d, g, k, o and s (see Table 3.7 above). These Themes have the effect of dividing the text into elements of schematic structure, and providing further global structure within paragraph 2. To the list of problem Themes in Table 3.7, one further global Theme needs to be added: *Today in Australia* in clause a which sets the essay as a whole in time and space.

Secondly, THEME is exploited on a more local basis, to structure arguments without making use of explicit causal conjunctive links (this is another aspect of the pervading rationale burying strategies referred to earlier). Facts, fronted clauses and nominalised clauses typically function in this way. In text 3.7 these local Themes are found in clauses f, g, n, q and ee:

f — with this (= people bringing their way of life with them from overseas)
g — itself a problem (= language difference being a problem itself)
n — this (= discriminatory acts occurring)
q — the feeling of being threatened (from 1)
ee — this fact (= everyone is unique)

A little over a third of the essay's Themes then have to do with global and local structuring of the argument. The remainder of the Themes are available to perform a different function, which has been referred to by Fries (1983) as method of development. These Themes will be referred to as Continuity Themes.

Basically they reflect the experiential focus of different sections of a text, where shifts in focus are relatable to global structure in a more general sense.

Given the schematic structure suggested for text 3.7, one would expect paragraph 2 to be developed from the point of view of linguistic and socio-cultural differences, paragraph 3 to be developed in terms of solutions to linguistic and socio-cultural problems and paragraph 4 in terms of physical differences. In fact, only paragraph 3 reflects in any direct way these expectancies. Setting aside global and local Themes, thematic selection in paragraphs 2, 3 and 4 is set out in Table 3.8:

II	e	many people
	i	communities of migrants
	j	everyone in that community
	l	people born in Australia able to speak English
	m	discriminatory acts
	p	people
	r	the man across the way
III	t	language courses
	u	pure English
	v	types of dialects
	w	culture
	x	other cultural activities
	y	migrants
	z	they (migrants)
IV	bb	no one
	dd	everyone
	ff	skin colour

Table 3.8: Continuity Themes in text 3.7

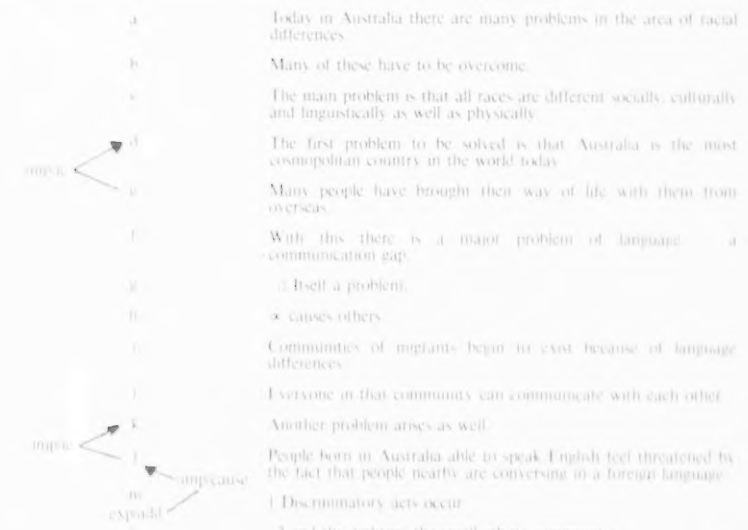
Table 3.8 shows that in general, continuity Themes are filled by items from the lexical string having to do with people. This is especially true in paragraphs 2 and 4, where in each case only one Theme is not filled by an item from this string. The effect of this is to make people the point of departure in 11 of the 17 thematic positions available for realising the text's method of development. The problem with this pattern of thematic selection is that it is not predicted by the text's introductory paragraph and neither does it correlate with global thematic patterns reflecting the text's schematic structure. These patterns predict socio-cultural and linguistic differences as the method of development of paragraph 2, solutions to socio-cultural and linguistic differences as the method of development of paragraph 3 and physical differences as the predominant thematic pattern in paragraph 4. Only paragraph 3 fulfils this expectation, with the language and socio-cultural lexical strings functioning as Theme in 5 out of 7 positions. In paragraph 2 the language and culture strings flow through the Rheme, and in paragraph 4, the physique string appears twice in the Rheme and only once in the Theme.

These frustrations of expectancies as far as the selection of continuity Themes in text 3.7 is concerned, probably reflect the difficulties young writers experience in breaking away from patterns of thematic selection which predominate in much

of their language experience. Casual conversation and narrative for example, both favour the selection of human Themes, with first and second person Themes predominating in many contexts. Beyond this, expository genres are peculiar in the way they depend on a particular selection of continuity Themes as part of their organisation. Narrative is structured around a sequence of events, and so does not depend on continuity Themes in this way. And in conversation, organisation depends more upon the points being made (and debated) than on development within the Theme itself, which tends to remain constant for long stretches of text. Interestingly enough, the writer of text 3.7 has moved successfully into expository writing as far as controlling global and local Themes in concerned. He is using THEME successfully to signal schematic structure and to grammaticalise causality. But in 2 out of 3 paragraphs his selection of continuity Themes does not support the patterns he has established using other linguistic resources. This may be a reflection of the time pressure under which he is writing.

3.2. Conjunction

CONJUNCTION in text 9 is outlined in Fig. 3.3 (Martin, 1983). There are 8 internal relations, (Halliday and Hasan: 1976) all implicit, and all realising internal comparison (restatement, exemplification and summation). As well there are 3 explicit additive relations and 9 other external relations; of these, 1 involves comparison, 3 are temporal and the remaining 5 are consequential. This kind of pattern is typical of expository writing. Note that only 2 of the relations are specifically causal (the other consequential relations involve concession and purpose), and that both of these are implicit. The writer has succeeded in grammaticalising most of the reasoning involved in the text.


a
Today in Australia there are many problems in the area of racial differences
b
Many of these have to be overcome.
c
The main problem is that all races are different socially, culturally and linguistically as well as physically.
d
The first problem to be solved is that Australia is the most cosmopolitan country in the world today.
e
Many people have brought their way of life with them from overseas.
f
With this there is a major problem of language — a communication gap.
g
(Itself a problem),
h
& causes others.
i
Communities of migrants begin to exist because of language differences.
j
Everyone in that community can communicate with each other.
k
Another problem arises as well.
l
People born in Australia able to speak English feel threatened by the fact that people nearby are conversing in a foreign language.
m
1 Discriminatory acts occur
n
2 and this tightens the small ethnic communities.
implies
implies
implicates
implies
expands

81

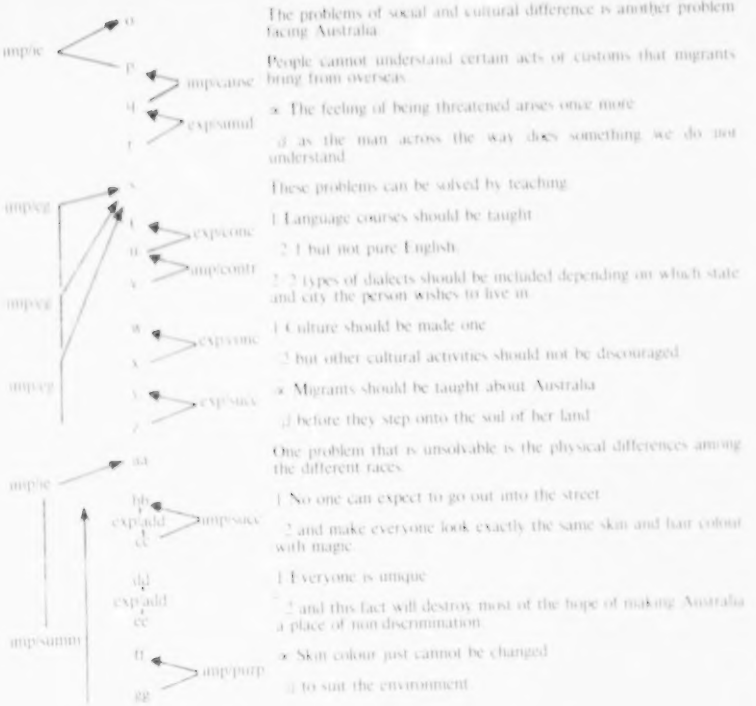

impsc
impcause
expsumul
impveg
expcons
impconstr
expsymc
expsucc
impsc
expadd
impsucc
impsumm
expadd
impprop
The problems of social and cultural difference is another problem facing Australia.
People cannot understand certain acts of customs that migrants bring from overseas.
× The feeling of being threatened arises once more.
∴ as the man across the way does something we do not understand.
These problems can be solved by teaching.
1 Language courses should be taught.
2 1 but not pure English.
2 2 types of dialects should be included depending on which state and city the person wishes to live in.
1 Culture should be made one.
2 but other cultural activities should not be discouraged.
× Migrants should be taught about Australia.
∴ before they step onto the soil of her land.
One problem that is unsolvable is the physical differences among the different races.
1 No one can expect to go out into the street.
2 and make everyone look exactly the same skin and hair colour with magic.
1 Everyone is unique.
2 and this fact will destroy most of the hope of making Australia a place of non discrimination.
× Skin colour just cannot be changed.
∴ to suit the environment.

Fig. 3.3: conjunctive relations in Text 9.

(Clause complexes have been analysed making use of the categories in Halliday (MSS))

Key: 1, 2 units in paratactic relationship
×, ∴ units in hypotactic relationship
× enhancement
+ extension

Paragraphs 3 and 4 make use of conjunctive relations in a way that is particularly typical of prestigious expository writing. In paragraph 3, the topic sentence, s, states that linguistic and socio-cultural problems can be solved by teaching and the writer then goes on to give 3 examples of how this can be done. Logical development through exemplification is one typical conjunctive structure for expository paragraphs:

III topic (thesis) s
example 1 t, u, v
example 2 w, x
example 3 y, z

In paragraph 4, a different technique is used. The writer states that problems resulting from physical differences cannot be solved in the topic sentence, aa, and then goes on to clarify this assertion by restating it in bb, cc, dd and ee. Clauses

BEST COPY AVAILABLE

bb through ee; in other words, make specific the general assertion presented in aa. Then, in ff and gg the points made in bb through ee are restated in a kind of emphatic (*just cannot be* — intensified modulation) summary. This has the effect of sandwiching the body of the paragraph between two general covering statements, another common expository technique:

IV topic (thesis) aa
restatement bb, cc, dd, ee
summary ff, gg

Paragraph 2 does not depend on conjunction for its organisation in this way. As noted above, it makes use of LEXICAL COHESION, REFERENCE and THEME, not CONJUNCTION, as its organising principle. Similarly the essay as a whole does not make use of conjunction to relate paragraphs 2, 3 and 4 to the Introduction. LEXICAL COHESION, REFERENCE and THEME are again exploited; in particular, the Themes of the topic sentences in each paragraph, *the first problem to be solved, these problems* and *one problem that cannot be solved* connect the paragraphs to paragraph 1. This is the typical pattern of connection found in essays approaching text 3.7 in length. Such texts are getting too long for internal conjunction alone to do the job of holding the text together.

3.3 Grammatical analysis: nominal groups

Nominal groups consisting of more than a single element are analysed in Table 3.9.

a many problems — the area of racial differences
N T — D T Q|R T T

b many of these
N Q|D

c the main problem — all races
D T T — N T

d the first problem to be solved — the most cosmopolitan country in the world
D N T Q|| || — D T T Q|D T

e many people — their way of life
N T — D T Q|| T

f a major problem of language — a communication gap
D E T Q|| T || — D C T

g a problem
D T

h

i communities of migrants — language differences
T Q|| T || — C T

j everyone in that community
T Q|| D T ||

k another problem
D T

l people born in Australia able to speak English — the fact that — a foreign language
T Q|| || Q|| — D T Q|| || D C T

m discriminatory acts
E T for C T?

n the small ethnic communities
D E C T

o the problems of social and cultural difference — another problem
D T Q|| C T || — D T

p certain acts or customs that migrants bring from overseas
D T Q|| ||

q the feeling of being threatened
D T Q|| ||

r the man across the way something we do not understand
D T Q|| || T Q|| ||
s these problems
D T
t language courses
Cl T
u pure English
Cl T
v types of dialects which state and city the person wishes to live in
T Q|| T || D T Q|| ||
w
x other cultural activities
D Cl T
y
z the soil of her land
D T Q||D T ||
aa one problem the physical differences among the different races
N T D Cl T Q|| D T T ||
bb the street
D T
cc exactly the same skin and hair colour
D PD Cl T
dd
ee this fact most of the hope of making Australia a place of non-discrimination
D T N Q||D T Q|| D T Q|| T |||||
ff skin colour
Cl T
gg the environment
D T

Table 3.9 Nominal groups structures in text 9 (single element groups excluded). For structural categories, see Halliday (1985)

Of interest here is the frequency of Classifier Thing structures (Halliday, 1985):

racial differences	language courses
communication gap	pure English
language differences	cultural activities
foreign language	physical differences
ethnic communities	skin and hair colour
social and cultural differences	skin colour

The frequency of this structure reflects the classificatory function of exposition. Expository writing both assumes and builds up taxonomies which bring order to the field developed in the text. Of particular interest in text 3.7 are the four structures which classify differences: (i) racial differences, (ii) language differences, (iii) social and cultural differences and (iv) physical differences. The taxonomy implicated is outlined in Fig. 3.4:

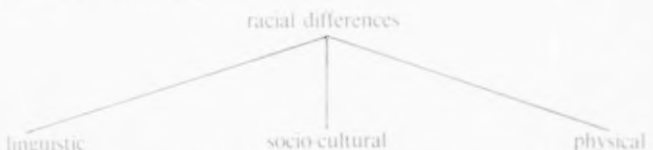


Fig. 3.4: the racial differences taxonomy in text 3.7

This classification of differences has been discussed at several points in the interpretation of the text. It appears to be more clearly structured into nominal groups in the text, than into other relevant patterns (i.e., THEME, REFERENCE, CONJUNCTION and paragraphing). Only LEXICAL COHESION supports this classification. Greater convergence between these patterns would have led to a more prestigious text overall.

4. Register

To this point linguistic patterns in text 3.7 have been discussed from the point of view of how they contribute to coherence in exposition. These patterns can also be approached from the point of view of appropriateness. How, in other words, do they reflect the context in which the student is writing? The writing context was described in general terms earlier in the paper. It was written under simulated examination conditions as part of a thematic unit on prejudice in Year 10. Text 3.7 itself can be given a genre and a register characterisation (cf. Martin, 1984) along the following lines. Its field is in broad terms political. More specifically it focuses on racial conflict — how it comes about and how it might be avoided. Its tenor is in general impersonal — relations of status, affect and contact between reader and writer are for the most part neutralised. The text's mode is written, with next to maximal distancing between writer and reader in terms of feedback (although an evaluative response from the teacher is in fact forthcoming) and with considerable distance between the language of the text and the world it describes. Impersonal abstraction, with a rather specific field focus, is typical of exposition in our culture.

Looked at in more detail, each of these register variables can in fact be interpreted as wave like movements through the text reflecting its schematic structure. As the LEXICAL COHESION analysis shows, the field focus shifts from one paragraph to the next. Paragraph 1 introduces the field in general terms. Paragraph 2 discusses first linguistic, then socio-cultural problems. Paragraph 3 presents teaching as a solution to these problems. And paragraph 4 turns to physical differences. Tenor is less variable, but does shift in paragraphs 3 and 4, as the essay shifts from a factual to a moral stance. In 3, every clause except the last involves MODULATION: ability in s, and obligation in t through v. Modulated appeals of this kind are tokens of dominance in our society — only the powerful have the right to command in this way. Superiors can tell inferiors what they have to do, while inferiors depend on indirect request. Although the reader is not specifically addressed, there is a shift in tenor away from the impersonal in this paragraph.

In paragraph 4, a different shift in tenor is found. The shift begins in the last clause of paragraph 3 where the writer refers to *the soil of her land*. It continues in 4 with the following phrases:

no one can expect	(cf. you just can't expect; it cannot be expected)
to go out into the street	
exactly the same	(cf. precisely the same)
with magic	
just cannot be changed	(cf. you just can't; it is impossible to; it is simply not possible)
to suit the environment	(cf. to suit yourself)

These phrases are more personal and idiomatic than those in the rest of the essay, and have a more conversational ring. *No one can expect* evokes *you just can't expect*, as *skin colour just cannot be changed* does *you just can't change skin colour*, and *to suit the environment* does *to suit yourself*. In linguistic terms what is going on is that POLARITY and INTENSIFICATION are being used to draw a very sharp line between what is and what is not possible:

POLARITY	INTENSIFICATION
unsolvable	exactly (the same)
no one	most of (the hope)
everyone	just (cannot be changed)
non-discrimination	
cannot	

POLARITY and INTENSIFICATION are typically exploited in this way, when solidarity is being expressed between interlocutors. They are in general too assertive for power differentiated situations (unless a high degree of negative affect is also present). Thus the writer can be seen in paragraph 4 to shift tenor again, from the dominant position of paragraph 3 to that of solidarity with the reader. He is probably on safe grounds in doing so, since it is hard to imagine anyone disagreeing with the points he is making about changing skin and hair colour.

Mode as well shifts throughout the text. It does so rather rhythmically, in a way that is characteristic of exposition. The shifting is in principle a move from the abstract to the concrete, although often it is simply from more abstract to less abstract formulations. A clear example of this shifting is found in o and p. In o the writer makes an abstract point about social and cultural differences. This he then illustrates with a more concrete statement about people not understanding certain acts or customs which migrants bring from overseas (i.e., abstract — o. *The problem of social and cultural differences is another problem facing Australia* and more concrete — p. *People cannot understand certain acts or customs that migrants bring from overseas*.) Mode shifts in text 3.7 along these lines in the following way:

	I	II	III	IV
abstract	a b c d f g h k o q s		aa	ee
concrete	e j j l m n p r t u v w x y z		aa bb cc dd	ff gg

Fig. 3.5: mode shifts in text 9

A more delicate analysis is certainly needed. Clause w *(Culture should be made one)* is clearly more abstract than y *(Migrants should be taught about Australia)*; similarly dd *(Everyone is unique)* is more abstract than bb and cc *(No one can go out into the street ...)*. But Fig. 3.5 does outline the mode shifting under discussion here. Abstract generalisations are illustrated with specific and more concrete examples, another abstract statement is made and exemplified, and so on. These shifts are often signalled through internal comparative conjunctions in mature exposition, as they are in paragraph 3 of this essay; the fact that there are so many shifts in paragraph 2 is another reason for the difficulties of interpretation encountered in this paragraph.

5. Types of exposition

In section 2, two types of exposition were mentioned. There is no implication that this binary division is exhaustive. A more detailed examination would yield further sub-categories. For example, within moral exposition, a certain variability in the general structure of the text can arise depending upon the presence or absence of an appeal, which, if it occurs may either follow or precede the introductory part. So far in this paper, the texts described are those taken from children's writing at infants, primary and mid-secondary level. We probably need to re-examine the categories in order to describe the kinds of differences found in academic writing at the tertiary level. The ensuing discussion builds in the insights gained by Pamela Peters in her continuing work at Macquarie University with many Writing Skills courses, designed for the tertiary level student (see Peters: MSS). At least three types of academic persuasive writing need to be acknowledged: i) interpretive; ii) evaluative; and iii) argumentative. None of these may make any particular appeal to action. In this respect they differ from the earlier discussed moral-persuasive exposition. The three types of persuasive writing at the tertiary level typically present a thesis about the way the world **should be seen,** not the way the world **should be.** They are labelled persuasive because they attempt to persuade the reader **about something,** instead of persuading him **to do something.** In the same way, at the tertiary level we may find sub-types of factual exposition. A few tentative suggestions about the sub-types and their general structural shapes are made below. For this discussion, we shall use the general terms: Introduction, Body and Conclusion to refer to the parts of the exposition.

Factual exposition often derives its structure from some conventional taxonomy or easily envisaged system which forms the subject of the exposition. The body of such texts could consist of as many units as there are classes in the taxonomy or components in the system. The order in which these units are presented offers the writer a choice, though ideally it is motivated by the nature of the particular taxonomy or system under discussion. This type of factual exposition can be referred to as Explanatory type A. Yet another type of factual exposition is concerned with explaining the interdependence of the components of a system, or the influence of one unit on another. We may refer to this type as Explanatory B. In this type of exposition, a process — or means — or causation-based structure is the most usual.

The question facing the author of text 3.7 was first off a taxonomic one, and he organized his material ("problems") into two kinds of unit: solvable problems, and insoluble ones. The order is suitable and motivated by the author's concern with what still remains to be done in the area of community relations. But the opening and closing structures are less satisfactory. Because the text's principal function is to set out its taxonomy, there is little to be said by way of introduction, except to announce the classes of things to be dealt with, which text 3.7 does, though not in a clear manner. In such texts there is even less to conclude with, because the details set out in the body are self sufficient. The author of text 3.7 does not really provide a "conclusion", but it would be difficult to find something which was both relevant to the body, and at the same time non-repetitive.

Persuasive writing is more variable in its schematic structure than the explanatory type, and to describe it we probably need to allow for at least three different kinds of intellectual persuasion, as suggested above. **Interpretative** texts provide a selected interpretation of raw material for the reader, highlighting it by means of a thematic key and backing it up with relevant examples. **Evaluative** texts are designed to justify a particular evaluation of certain data, and must establish and apply criteria for the evaluation. Yet other texts are **argumentative** in the strict sense of supplying a set of reasons for supporting a particular thesis. Many so-called **argumentative** texts are actually compiling examples to vindicate a thematic interpretation of the data, rather than arguing out the grounds and warrants for the interpretative thesis itself. The classification is complicated by the fact that many texts combine more than one of the above types of exposition **(explanatory, interpretative, evaluative, argumentative)**, although in the most successful ones, one or other will be dominant in the superstructure, and ensure an overall consistency in the functional tenor.

The introductory section of a persuasive text plays an important part in proposing the particular interpretative theme to be discussed, the evaluative criteria to be used, or the argumentative thesis to be defended. It establishes the abstract framework for the discussion, which normally precedes the treatment of more specific material. The concluding sections too have a more crucial role than in factual-explanatory texts, serving to affirm the viability of the interpretation, the validity of the ultimate value judgement, or to make the final move in the argument. Strictly speaking, it is only in the case of the last that there is a conclusion, i.e., a logical development backed up by all the preceding discussion. More generally, conclusion in all kinds of persuasive writing highlights the most important generalization(s) of the text.

The schematic structures of various types of exposition may be tabled as follows:

	INTRODUCTION	BODY	CONCLUSION
EXPLANATORY (A) (explain what)	Indicate subject and classes	Present classes in an order	Review
EXPLANATORY B (explain how/why)	Indicate phenomenon to be accounted for	Analyse contingent relationships in data	Restate
INTERPRETATIVE	Propose theme to be discussed	Apply thematic key to data	Affirm viability of view
EVALUATIVE	Indicate judgment to be sought and criteria used	Test data against criteria	Affirm validity of evaluation
ARGUMENTATIVE	Propose thesis to be defended	Argue grounds	Formulate logical conclusion

Table 3.10 Subtypes of academic exposition

The following figure presents a tentative taxonomy of the types of exposition:

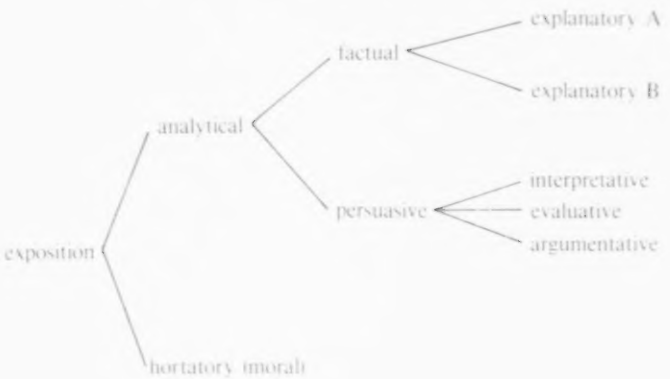


Figure 3.5: A tentative taxonomy of exposition

The question posed to the author of text 3.7 was double-barrelled and potentially ambiguous, as already noted. At one level it seems to solicit an explanatory response, on first what are the problems (Explanatory A), and secondly how they can be solved (Explanatory B). It is as if the problems and their solutions are relatively cut and dried. The student's answer suggests some recognition of this, with the taxonomy of problems announced in the introduction, and the ensuing material structured in terms of categories of problem: the linguistic, social and cultural, as well as the solvable and the insoluble. Unfortunately the categories are not really discrete, which caused certain difficulties discussed above, and we might also query the relevance of introducing the insoluble category, in an essay supposed to be dealing with "how (the problems) can be overcome". The "how" aspect of the question is overall less well handled, and in the earlier part of the essay (para. 2) the student seems to be diverted on to explaining how the problems came about, rather than how they can be solved. Paragraph 3 at least is devoted to "solutions", though they vary from the practical (more language teaching) to the unimaginable ("culture should be made one").

Yet the "solutions" paragraph is really hortatory rather than analytical, and the student seems to urge solutions as much as to explain them.

6. Ideology

In spite of having analysed text 3.7 at the levels of grammar and lexis, discourse and register, there remain systematic linguistic patterns in the text still in need of explanation. These relate to the ideological stance adopted by the writer (cf. Kress and Hodge, 1979). The three most significant of these patterns are:

83

1. The use of modulated agentless passives in paragraph 3, in contrast with the agentless impossibilities in paragraph 4.
2. The use of concessive conjunctions in connection with each of the agentless passives in paragraph 3.
3. The use of reference chains to refer to migrants, but not other Australians, who are referred to as people.

These patterns reflect an underlying tension in the rationale having to do with accommodating cultural differences in such a way that racial tensions resolve themselves at the same time as migrants retain something of their cultural identity. It is the problem of 'unity through diversity' as it was once referred to by way of political slogan in Canadian politics.

Paragraph 2 is for the most part ideologically neutral. The writer points out the differences between migrants and other Australians, and discusses the reactions of Australians to linguistic and cultural differences. However, the way in which native Australians are identified changes throughout the paragraph:

l people born in Australia able to speak English
p people
r we

At first native-born Australians are referred to as such, in contrast with people born overseas. Then, in p, native born Australians become *people*; and in r the author includes both himself and the reader in this group: *we*. This sets up an opposition between Australians and migrants which is retained in paragraph 3. In 3, the writer suggests that problems can be solved if Australians teach migrants English, make the culture of Australia one, and teach migrants about Australia before they come (cf. the formulation of the question — *the problems faced by ethnic minorities* — not by Australians).

The way in which agency is used in the text also contributes to this opposition of Australians to migrants. The writer avoids making Australians responsible for acts of discrimination by writing in n: *discriminatory acts occur*. He does not treat discrimination as something done by Australians to migrants. However, in paragraph 3, where Australians are pictured as solving problems rather than causing them, he does use agentive clauses (again, cf. the agentless passive in the formulation of the question: how these problems can be overcome):

t Language courses should be taught (by Australians)
u but not pure English (elliptical for: pure English should not be taught by . . .)
v types of dialects should be included (by Australians)
w Culture should be made one (by Australians)
y Migrants should be taught (by Australians)

Each of these clauses is an agentless passive, implying rather than stating the part to be played by Australians in the process. This reflects the 'unity through diversity' tension noted above. The solutions in paragraph 3 might be criticised on the grounds that they destroy the culture of migrants. Phrased as they are, clauses t, u, v, w and y give Australians credit for solving the problems (via agency) at the same time as covering up their participation (via the agentless passives). The question of who is being taught language courses and whose culture is being made one is also fudged, though less clearly. The writer does not include a Recipient in

BEST COPY AVAILABLE

t, although in u *(not pure English)* it is clear that he has Australians teaching English to migrants in mind (not Australians learning migrants' community languages!). In w he does not specify whose culture is to be made one, but in x, his reference to *other cultural activities* again clearly implicates that it is migrants' culture that is to be absorbed. In y he is explicit about the fact that migrants should be taught about Australia, not Australians about migrants. The resonating *soil of her land* which closes the paragraph seals the opposition of Australians to migrants; it is clear by this point that it is migrants who will adapt to Australia, and not vice versa.

The unity/diversity tension underlying the fudging in paragraph 3 is clearly reflected in the use of concessive conjunctions between t and u, and between v and w:

t Language course should be taught
u but not pure English;
v Culture should be made one
w but other cultural activities should not be discouraged.

The writer is not giving much away. One might have expected in u that he would allow that migrant languages could be taught as well; instead he refers simply to the fact that the type of English which is taught should be appropriate. And in v and w, culture is opposed to cultural activities (via REFERENCE: *culture — other cultural activities*), which makes one wonder just what kinds of cultural activity are compatible with culture being made one. The writer is reacting to the problem of assimilating migrants while giving them an identity of their own, but is doing so in a way that leaves them with little to work with. This is an effective way of covering up difficulties in a paragraph which is after all about solutions to problems. It is of course important in such a paragraph to cover up problems arising from the solutions proposed.

Paragraph 3 contrasts markedly with paragraph 4 in terms of the problems discussed. In 4 there is no opposition of agentive Australians to acted upon migrants. The paragraph is about people throughout. The writer's point is so incontestable that no fudging need take place.

7. Implications

In general our group's interest in exposition stemmed from a concern with the development of writing in primary, secondary and tertiary education. So it is perhaps appropriate to close with a few remarks related to the implications of our discussions for an educational context.

First of all, it is clear that expository writing is a very different kind of writing from that used in narrative. This is not to say that it is the only genre through which learning does or should take place. Certainly students can learn through narrative, and many other genres as well. Rather, it is simply to point out that exposition has a place in our culture, and that members of our culture have firm expectations as to what exposition is like, and that these expectations differ from those associated with story contexts. Moreover, within the general category of exposition, there are a number of different sub-types, a tentative classification for which was proposed above. These as well are each appropriate in some contexts but not others. And they differ from each other in predictable ways. All this

means that some kind of genre consciousness is essential if students and teachers are to cooperate in the development of expository writing. At present the general level of consciousness is far too low. Infants and primary school teachers for example refer to all the writing done by their students as stories, whether they involve narration, exposition or any other types of writing. Secondary teachers probably have more awareness of the distinction between narration and exposition (at least in the political context of championing one against the other), but almost certainly have an inadequate understanding of the different types of exposition — this is obvious from questions such as that eliciting text 3.7 which are in fact ambiguous or ambivalent in their generic requirements.

Generic naivety at the tertiary level is perhaps most clearly reflected in the aghast reaction of lecturers and professors who find their students cannot write the kind of essays they expect when it is by no means clear that the expository genres demanded are even touched upon in secondary school.

This brings us to a second point, concerning responsibility for teaching expository writing. Exposition has an important place in our culture — particularly in our education system where students' lives quite literally depend on their mastery of this genre in evaluation situations towards the end of secondary and throughout tertiary education. In spite of this, infants and primary teachers take no responsibility whatsoever for developing expository writing. And even in secondary school, it is quite common for a narrative orientation to predominate until year 10, when the pressure of forthcoming written examinations becomes unavoidable. This has the effect of giving students next to no preparation for the kind of writing that in fact matters most. It is hard to think of comparable instances of educational irresponsibility in our culture, though there are no doubt others to be found (in this regard, it is one thing to object to a system of state wide examinations; it is quite another to resist preparing students for them because of philosophical qualms).

Connected with this is the question of what stages students go through in learning to write exposition, if they are in fact lucky enough to succeed on their own. This is a complicated question because three factors are involved. One is the student's own experience of language and linguistic maturity. There is some sense, at present not very well understood, in which expositions like that in text 3.7 grow out of report writing (texts 2 and 5). There is no evidence that narrative is easier for students than exposition, or a necessary stage leading into expository writing. The differences between the genres are so great that it is hard to imagine how any continuity of development could take place. In fact, children in infants school spontaneously produce expository texts — and for some it is the favoured genre, favoured until they run up against the narrative bias of their teachers. The second important factor in the development of exposition is then the teacher's attitude to what kind of writing is appropriate for children of a given age. The attitude of many teachers, probably reflecting their training (sic) in English literature and next to complete lack of exposure to language study itself, is strongly towards narrative. This attitude discriminates against children who favour exposition; and results in a general supression of the genre for several years in primary and early secondary school. The idea that narrative is a simpler and more 'personal' genre, and a superior way of exploring the world reflects a kind of naive romanticism about children and learning rather than an appreciation of

writing development, but it is an idea that is widely held. The third factor relevant here has to do with the organisation of education itself — curriculum as well as examination procedures. Certain subject areas demand expository writing, and exams certainly do, so whatever developmental stage a child is at, and whatever genre is favoured by the teacher, the time comes when exposition is demanded, and students must come up with it as best they can. Thus what stages a child goes through in learning to write exposition is a complex matter, with linguistic maturity, teacher prejudice, and school needs, all playing a role. There is a rather desperate need at present for linguistically informed research into this area to see what in fact is, and more important, what could be, going on as far as writing development is concerned.

This brings us to the final, and perhaps most vexing question: namely, how much do students, teachers and teachers of teachers need to know about language in order to foster the development of expository writing (or writing of any kind for that matter). This is really three separate questions, since students, teachers and teacher educators will have different needs, and will draw upon linguistics in different ways for their own purposes. If the analyses performed in this paper are at all convincing, then it would appear that some kind of semantically and functionally organised grammar is essential if student and teacher are to have a language to talk about language. And as well, some understanding of discourse structure is also crucial — genres are after all realised through texts, not isolated sentences. It is the place of linguists to provide grammars and discourse analyses which are relevant, and to make them accessible to educators who may wish to adapt them. Language is an object, not simply a tool. But it is an object about which its users are scarcely conscious. And unless its structure is brought to consciousness, it tends to use its users, thus preventing them from effectively using it. It is this challenge — in essence an ideological one — which applied linguistics must address and overcome.

CHAPTER FOUR

DISCOURSE STRUCTURES IN LITERARY NARRATIVE: EXAMPLES FROM GRAHAM GREENE'S "JUBILEE"

*L M O'Toole (Convenor)
*D G Butt (Co-convenor)
D Courts
C Fernando
R Hasan
L Ingram
Y Maley
R Spence
N Witton

The aim of this workshop group has been to try and do justice to the range of approaches and intuitions of members of the group in a somewhat "polyphonic" report, while engaging with the overarching themes of the Workshop, as adumbrated by John Sinclair, Ruqaiya Hasan and Jim Martin.

We first thought about the problems of "temporality" and "purpose" in the definition of context as raised by John Sinclair in particular and started with the notion, a very advantageous one to us, of the literary text as an independent and self-enclosed context. Whatever its relations with life-at-large and what we playfully like to call "reality", the literary text is dependent for its purpose and meaning on an enclosed world of interpretation. Every element of information in the literary context, whether it is experiential or interpersonal, is assumed by the reader to be globally as well as locally relevant. And whereas the local relevance of some element of meaning is established at the phase in sequence where it occurs, obviously there is an assumption of an ultimate global relevance.

Moreover, the literary text begins to define its syntagmatic possibilities from the very start, so if you take the word "jubilee" in the title which, after all, is our way into the story, and consider some of the dimensions of the word "jubilee", a jubilee seemed to us to be a **popular** celebration with elements of **display** celebrating a long period of, possibly, **imperial rule** for at least we made the imperial connection with the British 1930s). Well, the notion of "long period" brings in an awareness of age and the end of an era: such meaning areas as preservation of a past, preservation of a present state and so on. "Imperial", finds its reflections in the text as a whole, of course: Mr Chalfont is a governor-type from the colonies and there is the theme of "colonials in London" when Amy is busy "cleaning up the streets". The whole question of "display" gets realised syntagmatically in the story, in the street decorations, in the cleaning up of the streets to make it all look nice, in ostentation, in all sorts of forms, in vulgar dress and so on. "Popular celebration" involves the lower classes, plebeian spontaneity, dancing, loving, drinking as opposed to the self conscious inhibition of the upper classes.

Yet consulting the dictionary, we found our account of the semantics of jubilee quite superficial; further levels of meaning based on the word's Hebrew origins and Catholic adoption had deeper and more complex implications throughout the story that may have lain beneath our — and even Greene's — conscious awareness. Jubilees were celebrated in Ancient Israel, it appears, at fifty-year intervals and were heralded by the blowing of rams' horns. Slaves were released (as were the "colonials" in London) and sequestered property was returned to its owners (Amy is much involved in the acquisition and exchange of property). When the medieval Catholic Church took over the "jubilee", it enriched the commitment to atonement; good works at this time could compensate for the sins committed in one's normal life (a £5 note and the generous gesture of taking Mr Chalfont home to her flat are Amy's atonement for her profitably sinful career). In ancient Rome and mediaeval Europe, moreover, the Hebrew "jubilee" became the Latin "carnival": *carne vale*, a farewell to the flesh before the Lenten fast that celebrated, as Bakhtin (1968) amply shows, the overturning of all official and aristocratic norms by plebeian counter rituals. The "Jubilee" of the title, then, is rediscovered at the end of the story as carnival:

> Mr Chalfont couldn't help wondering at the unfairness of her confidence and her health. He had a touch of neuritis, but she was carnival; she really seemed to belong to the banners and drinks and plumes and processions.

Here then are the seeds of something that starts growing in the later text but in a way we are talking about a shuttling movement — and we shall come back to the "shuttling" metaphor — between those small beginnings even in a highly polysemic word like jubilee and the various points in the text which revive our awareness of those meanings. In other words the literary text begins to define its syntagmatic possibilities from the paradigms contained at the very start.

Literary theory often finds it useful to distinguish between a synoptic and dynamic reading of narrative (O'Toole: 1976). A synoptic reading (a reading as gerund or noun; the object of a completed process) is the integrated interpretation of the whole literary work to which the student and analytic critic aspires and which provides a point of reference for all subsequent readings. Dynamic reading (the process expressed by the participial form of the word) is what we do as we create partial and provisional meanings on our way through the text. Yet our recognition of the wholeness of the generically defined literary text and our urge to unify all the dimly perceived partial meanings as we read suggests that an exclusively synoptic or dynamic reading is impossible; the separation of these is an operational fiction. A dynamic reading generates syntagmatic possibilities out of the paradigmatic potential. In this case the multiple meanings implicit in the single word of the title get realized in the narrative syntagm and the story's coherence is created for us much more by our ability to "shuttle" between initial and final, or partial and complete, meanings than through the relatively mechanical cohesion of lexical chaining — of which more later. Therefore an exclusively synoptic or dynamic reading is impossible. The separation of these is just a fiction as far as we're concerned.

A dynamic reading generates syntagmatic possibilities out of the paradigmatic potential, so you can take the first sentence of the story, as we did; only a few members of the group had managed to read the story before we actually came together, so we did the exercise of first analysing linguistically the first sentence

and then the first two sentences, then the first short paragraph as a sort of "unseen" exercise to see what consensus emerged. Obviously, everyone there with their literary competence had a sort of awareness, a consciousness that the whole context, the whole work, the gestalt was going to be relevant. We start with very unremarkable actions: "Mr Chalfont ironed his trousers and his tie". Such an unremarkable piece of narration couldn't bear this degree of prominence in a text unless there were expectations of the gestalt which were going to motivate that, which were going to fill out the significance of that extraordinarily prosaic and dull sentence. So the significance is to be found in the whole text, in the interacting axes of meaning coming together in a unified interpretation.

The first overall pattern in the gestalt we studied was the Narrative Structure. Narrative structure in a rather broad narratology framework is really culled from literary criticism, and is perhaps enriched by linguistic insights over a long period. In this framework narrative structure is conceived of as centrally consisting of Complication, Peripeteia (or turning point) and Denoument; this central nucleus is framed by a Prologue and an Epilogue, both of which, in their turn, can be seen as consisting of two parts — a General one, and a Special one. Obviously, this concept of the narrative structure has a good deal in common with the Aristotelian notions; this is not surprising since there is a well recognized historical relationship between the two.

Schematically, this will look something like this, with the narrative moving from an initial state of affairs, "A" to a final state, "Z":

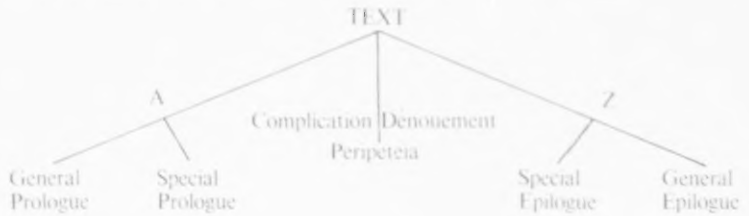


Fig. 4:1

In very broad terms that's the unmarked form of narrative structure. (See O'Toole: 1982, for a fuller account of the influence of formalist approaches).

Our mode of analysis was to divide up into four groups and each group simply worked out what they felt was the narrative structure in terms of this model. Each group assigned the various phases to the story quite independently of each other.

Some interesting differences came to light which were, I think, significant. We were fairly agreed that the first three paragraphs up to the top of the second page (77) — "Now he was back at the old game" represented a kind of General Prologue, the general background to Mr Chalfont. The Special Prologue from that point on brings him in to a "present". Of course, there have been elements of a present in his ironing his trousers and tie, but this gets more fully realized as we follow his thoughts as he crosses the road into the park.

A Complication begins as he gets into the pub to find his seat in the pub occupied. (We noted incidentally that a lot of turning points in the story at various levels actually came at the ends of paragraphs rather than initiating new paragraphs and we don't know if this is a stylistic trick of Graham Greene's, but it seemed to reoccur significantly). So the opening of the complication is "but his usual seat was occupied", and then it builds up through the ramifications of that fact, leading to the rather frightening wink and the development of tension through the dialogue in which Amy gains more and more initiative.

Now this is where the difference in the assignment of the elements in the narrative structure became interesting because one group decided that the clear peripeteia, or turning point, in the story was a psychological one and that comes on page 80 with the very highly foregrounded sentence structure at the beginning of the long paragraph on page 80 "he looked helplessly around: a friend: he couldn't even think of a friend's name. He wilted before a personality stronger than his own". This group felt that the movement of the story was strongly psychological, and that we can only read the peripeteia as being at this point, but, there was a feeling in two of the other groups either that Amy's initial wink was the beginning of the turning point or that the moment of shock for Mr Chalfont, on page 79, two thirds of the way down might be it: "'Oh,' Mr Chalfont said, 'You were in the business'. It was quite a shock to him. He looked quickly this way and that, feeling that he might have been observed." Now the point of this difference is that these are not necessarily incompatible and we are not applying a totally rigid framework. On the contrary, it allows through the shuttling procedure and an open-ended concept of the literary work for different kinds of interpretation. There may be a more Marxist interpretation, a more Freudian one, a more personality oriented one and so on. And so if the main thematic focus of the story is on the business that Mr Chalfont and Amy have respectively, from their different angles, been engaged in, then we might well find that the shock following the revelation of her business was thematically central. On the other hand, if we see it in terms of personal psychology, then the peripeteia we outlined first "he wilted before a personality stronger than his own" would be central. And we are not trying to legislate here either way. The schema below incorporates this interpretation of the structure, but only provisionally, for the sake of a clearer exposition.

NARRATIVE STRUCTURE

GP: para. 1-3	Mr C. at home and by traffic lights.
SP: para. 4-5	His thoughts and crossing road
Complication:	Seat occupied and wink. Tension developed through dialogue in which Amy gains more and more initiative
Peripeteia:	"He wilted before a personality stronger than his own".
Denouement:	His recognition of defeat. Her victory, money, backslap.
SE:	Loss of Mayfair
GE:	Tatty streets. End of pretensions.

Table 4.1

It is common to speak of the cycle of analysis-interpretation as a "hermeneutic circle", but this represents too closed-off a notion: a "hermeneutic spiral" image allows us to envisage the interplay of objective observation and analysis with subjective intuition and interpretation as being open-ended, continually opening up new possibilities.

The denouement, then, is in these terms. Mr Chalfont's recognition of defeat and it's not just his recognition of defeat "he wilted before a personality stronger than his own" but the articulation, the dynamisation, of her victory involved in the actions of offering and pressing on him money, slapping him on the back, telling him to cheer up and so on. The special epilogue is then the loss of his Mayfair image in the penultimate paragraph of the story and with the general epilogue, we are back to the larger world of London and the tatty streets as the wind blows the decorations.

This broad analysis gave us a framework within which to look at the whole narrative. It gave us the "structure potential" for looking at any narrative. As we said earlier, "structure potentials" of narratives can have unmarked and marked forms and we should clearly start, as Ruqaiya Hasan did with her transaction in a greengrocer's shop, (Hasan: 1980) by looking at the unmarked form of the structure potential of a particular genre.

Incidentally, in some ways there is quite a lot in common between the narrative structure of this genre of the short story and the narrative structure of the green-grocer's shop interchange. There is a kind of upsetting of an initial equilibrium when the person goes into the greengrocer's shop (with or without knocking over a display of apples); the customer represents an intrusion into a previous status quo. The central moment of transition, as Ruqaiya (1979) has shown in her delineation of structure potential is the payment phase and then there is a kind of denouement in departure and so on, and you could frame it in prologues and epilogues of a kind which would be more evident in Arab shops than our own, although even Australian supermarkets have a kind of "framing no-man's land" for marginal contextualising activities (returning goods, arranging pick-up facilities, customer conversations, apprehension of shop-lifters) between the shop doors and the revolving entry gate or the check-out desk.

Thus this generalisation of the notion of structure potential from the smallest and most inconsequential kinds of everyday discourse to narrative discourse in literature, from the short story to the novel, shows a continuity which is motivated and, we feel, significant, and has to do with the question of overall purposes as highlighted by John Sinclair. We should like here to emphasise the degree to which all the other group reports on expository, classroom and even informal conversation shared the rise-fall pattern and the framing elements of narrative. This extension of a Narrative Structure model to other forms of discourse — even to games, wars and love-making, as well as service encounters — is, of course, very powerful; used with care and tact, however, it should highlight the differences as well as the similarities between such disparate "stories" that make up our life's work.

After sketching out the broad outlines of the narrative structure of Jubilee, the group looked again at the first paragraph to see if the details of syntactic and semantic patterning would confirm some of the assumptions we had been making

about the theme of the story. You don't have to work very hard to note the play with antithesis:

> Mr Chalfont ironed his trousers and his tie. Then he folded up his ironing board and put it away. He was tall and had preserved his figure. He looked distinguished even in his pants, in a small furnished bed-sitting-room he kept off Shepherd's Market. He was 50 but he didn't look more than 45. He was stony broke but he remained unquestionably Mayfair.

Grammatically we move from contrasting actions in sequence ("Mr Chalfont ironed . . . Then he folded up his ironing board") to adversative conjunctions ("He was fifty **but** he didn't look more than forty-five. He was stony broke **but** he remained unquestionably Mayfair".)

And there's a nice parallel there, starting with the negative element (He was fifty) coming first, and then compensated for by its positive antithesis in both sentences.

The age antithesis already takes on additional connotations so soon after the title of the story: fifty is a personal as well as public jubilee, but it means an admission of age and decline as well as celebration of a stage achieved. 45 is correspondingly youthful, staving off age. This grammatical pair of antitheses is mirrored in the paragraph structure, where slight and simple actions on the action level seem to be in an antithetical relation with complex relations of thought processes. So that there is a structural development in the story, a structural continuity, between antithesis at sentence level and antithesis at the paragraph level. To take some of the semantic oppositions which came to light in the first paragraph, the opposition between age and youth (or relative youth or dreams of youth), between poverty and affluence, between male and female (after all, it was a man ironing his trousers and tie in Britain, the sexist Britain of the 1930s) distinction and seediness, and so on. Now all of these primary oppositions, are actually distilled through an overall modality of appearances. That is, appearances of poverty, appearances of affluence, apparent maleness, apparent femaleness, and so on, and so we saw as a kind of overarching binary opposition the opposition between Appearances and Reality, and in some ways we took that as fundamental to the theme of the story, although we are not going to insist at this stage that this is uniquely the theme of the story.

Binary oppositions reappear, not just as motifs; we want to stress this because although a concordance of the story as illustrated by John Sinclair in his discussion of The Heart of Darkness would be very useful and would map out for us the frequency of elements and their actual placing and bunching in the story, it would not be functional, as one would have to impose some functional framework on it, which the group believed, is imposed by narrative structure. So, binary oppositions are realised by such layers of narrative structure as character, in the opposition between his **apparent** youth and her relatively **actual** youth, between their apparent distinction, and actual seediness, and so on. In terms of setting, there are the very important oppositions (at least to any Londoner reading the story) of, at one end, Mayfair and affluence and distinction, versus Paddington. But of course there are different degrees of the spatial realisations of binary oppositions. It isn't just a binary opposition when it gets realised in the text, and if you know Shepherd's Market, you'll know that in a sense Shepherd's Market is somehow a liminal area, it's on the borders between the distinction of Mayfair and slightly seedier areas like Jermyn Street.

BEST COPY AVAILABLE

Although binary oppositions appear to be dominant in this story — and certainly triggered many important insights among the group — we should beware of rampant binarisms. Often fine distinctions need to be made along a cline of values.

Next the sub groups looked in quite a lot of detail at the two layers of Fable and Plot. Fable is essentially the sequential, temporal structures: there seems to be a virtue in tracking through the sequential development of a narrative distinguishing between temporal and causal structures. Temporal and causal structures, of course, coincide to some extent, but it is an important hermeneutic device to keep them separate as long as possible, and so two groups looked at temporal structures and two groups looked at plot, at causal structures. What we found, for instance, in looking at the time structure was that the early phase of the story, what we called the "general prologue", is actually very static as far as time is concerned and in fact this is almost foregrounded where we move from Mr Chalfont having finished his ironing in his kitchen to the traffic lights with no information about how he got from point A to point B, and for that matter there's not much about how he got from the traffic lights into the pub. So at that relatively static descriptive phase of the prologue of the story, we can expect, perhaps as a general rule, that there will be relatively static action, in other words, relatively little flow of time. This should also be reflected in transitivity selections, as, indeed, it is, since the majority of the verbs in this section are either relational or mental process; the material processes are virtually all negated ("he hadn't blown whistles or thrown paper ribbons"). This seems to match Mr Chalfont's preoccupation with appearances and the undynamic nature of Mr Chalfont in the world. As we come to the complication, crossing the road seems to be an action involving time which involves risk and, indeed, it leads to the ultimate risk for Mr Chalfont in the story.

Now, what we had noted when looking at the narrative structure was that the first complication of the wink in the pub was separated from the peripeteia shown in the schema (Fig. 2) as: "He wilted before a personality stronger than his own" by two whole pages of dialogue. Now that's two pages of unbroken dialogue, unbroken except for *verba dicendi* in a story 6 pages long. And what's more, the final page of the story is almost entirely dialogue as well. That seems a quite high proportion of dialogue to description, of mimesis to diegesis. We therefore had to consider whether the dialogue is actually carrying some important message, is actually an activation or, if you like, "dynamisation" of the essential tensions set up by the opening of the complication. In other words, we have established a state of tension for Mr Chalfont: Is that state of tension going to be realised and is it going to be intensified by the dialogue? So we looked in detail at the dialogue in those terms. We were essentially reverting to conversational analysis and thinking for that phase in terms of a sort of global interpretation of what's going on in the dialogue. We found that this dialogue in real time (after all real time resumes its flow when the reader is reading dialogue, because we have an assumption about not having to concertina time during dialogue) this dialogue in real time makes us **live** the tensions that had been evoked by Amy's challenge and in a sense it gradually realises all those oppositions which we noted in the opening of the

story: affluence and poverty, the foundations for affluence and poverty in two sorts of business, age vs. youth, and so on. But its not just the static realisation of these oppositions, it's the dynamic realisation of them in a movement from the relative degree of initiative that Mr Chalfont takes early in the dialogue (admittedly he only talks in cliches because that's his world), but gradually Amy assumes the initiative in the dialogue and that seems very crucial, this moving over to her initiative which comes in with a real bang at the end of the dialogue and which leads to the "wilting" of his personality. So this analysis of the Fable, the temporal structure, combines our evolving synoptic view of opposing types and states — a literary text's special dynamism — and yet it reverts to the natural tempo of conversation where we are constructing meanings sequentially, and of course inferentially, within the dialogue.

Another aspect of the dialogue which seemed to several of us to stand out is the number of ellipses, euphemisms and vagueness: Amy's husband is brought in at one point and recedes into the mist again with no further reference and no clear idea of how he gets in at all. The peripeteia on the psychological level, this moment of "He wilted before a personality stronger than his own" at the key moment of the recognition of what she'd done for London, causes the articulation through his consciousness now. (We've been in dialogue form, we've been alternating between two consciousnesses). We now go deeply in the long paragraph on the penultimate page (80) into his consciousness. This is the articulation of all the tensions which have been pre figured statically in the prologue and activated in the dialogue.

> He looked helplessly around: a friend? He couldn't even think of a friend's name. He wilted before a personality stronger than his own. She bloomed there like a great dressy autumn flower. He felt old. My jubilee.

Note, as we noted, that you have the words "my jubilee" in her **speech.** Here it's in his **thought.** On the 4th line of that page she says, "I made £5,000 dear, it wasy really **my jubilee** as well, though you mightn't think it to look at me." The framing effected by those two expressions of "my jubilee" (the only time in the story when that phrase is used) seemed very significant.

> His frayed cuffs showed: he'd forgotten to arrange his hand. He said, 'Perhaps, just one. It ought really to be on me.' And as he watched her bang for the waiter in the dim, genteel place and dominate his disapproval when he came, Mr Chalfont couldn't help wondering at the unfairness of her confidence and her wealth. He had a touch of neuritis but she was carnival.

There was quite a lot of interesting discussion about carnival and the degree to which that included *canivore* and *carnal*, and she really seemed to belong to both categories. So is that kind of discussion "mere literary criticism" of the traditional kind? No, because in this case it was functionally motivated.

> "She really seemed to belong to the banners and drapes and plumes and processions. He said quite humbly, 'I should have liked to have seen the procession but I wasn't up to it. My rheumatism', he excused himself. His little withered sense of good taste **could not stand** the bright plebeian spontaneity."

It's beautiful, that sentence, because it's actually realising one of the key antitheses or, rather the bundle of antitheses in the story. Not with an adversative 'but' in the middle of the sentence but with a 'could not stand' — this seems to be a dynamisation of the 'but', a narratisation of 'but'.

19

"He was a fine dancer, **but** they'd have out danced him on the pavements. He made love attractively in his formal, well-bred way, **but** they'd have outloved him, blind and drunk and crazy and happy in the park."

During the lexical chaining analysis of the story, two of us had problems as to where to assign "blind, drunk, crazy and happy", and without too much dispute we put them in the positive category, in a category of positive, powerful "display" elements, not in their general sense of relatively negative things.

"He had known that he would be out of place and he would have kept away, but it was humiliating to realise that Amy missed nothing".

Now our study of lexical chaining which I have referred to and which was our next group phase of the discussion shows an incredible bunching of objects stripped of their symbolic jubilee function at the very end of the story in the last paragraph and a half. The jubilee function is stripped right away and we have mere objects. Thus in the penultimate paragraph we find:

"Amy went inexorably on, while Mayfair faded from his manner, until there remained only the bedsitting room, the ham rolls, the iron heating on the stove."

Now those objects in the lexical chain stand out because we've had no such objects since the first paragraph of the story but they are mere objects now, there is no pretence of Mayfair, it's been unmasked. And similarly, the pretences, the display of the jubilee have gone too and only a list of objects remains, emptied of their festive functions: "as the wind picked up the ribbons and tore them from the poles and lifted the dust and made the flags flap." Now only Amy sustains the "Jubilee spirit" with a slap and a pinch, but her motives are unmasked too: "taking her revenge for a world of uncongenial partners".

We could have looked in greater detail at the spatial and temporal structures of setting, the fixed structures of London, after the jubilee, in a pub, in 1935, and so on. It was the mapping together of our findings from at least the layers of narrative structure, fable, plot and character that seemed to us to be producing some not only meaningful and revealing findings, but also explicit and motivated observations in terms of the overall purposes of the text.

A lexical chain analysis also revealed, along with much else, a marked shift from Mr Chalfont with all his antitheses to Amy. "You couldn't call him anything else now but old Mr Chalfont" (the end of the story). From the story's opening he has been Mr Chalfont but he has been claiming all sorts of other things for himself before.

We found the group approach to lexical chain analysis extremely productive. Pairs took slightly different approaches reading more or less semantic relations into the lexical chains. One group did virtually a pure statistical count of the lexical items; one group noted bunching, interpreting it in a functional way and one made quite broad semantic connections more after the fashion of a Thesaurus approach.

When these approaches to different sections of the text were compared further subtleties of Graham Greene's style became apparent.

We will round off by analysing a "pseudo-text" that seemed to us to epitomise the story, to offer you the story "writ small" but also to epitomise some of our discussion about this question of the modus operandi of our procedures. You

might say, after a fair amount of argument such as we had, that a sentence like this: "Ironically, the sprightly Mr Chalfont may have been overpowered after the jubilee by the vivacious pseudonymous professional lady." — OK, it's a pretty artificial sentence! But it encapsulates most of the themes of this Graham Greene short story. And not just the themes, but their functions in the overall structure.

A S
//Ironically,/the sprightly Mr Chalfont/
P A
may have been overpowered/after the Jubilee/
A
by a vivacious pseudonymous professional lady.//

Structurally, it's a single clause sentence, consisting of a sentence Adjunct, (Ironically), Subject, (the sprightly Mr Chalfont), Predicator (may have been overpowered), Adjunct (after the jubilee), Adjunct (by a vivacious pseudonymous professional lady). Within the nominal groups we have a nominal group as follows:

the	sprightly	Mr Chalfont	
Modifier	Modifier	Head	(Logical Structure = MMH)
Deictic	Epithet	Thing	(Experiential Structure = DET)

and the other one, whose structure is more complex as shown below:

a	vivacious	psuedonymous	professional	lady
Modifier	Modifier	Modifier	Modifier	Head
Deictic	Epithet	Classifier	Classifier	Thing

Looking at the transitivity structure we note that the Subject turns out to be the Goal/Medium in the Process:Participant configuration. The Process *overpowered* is overtly a Material Process; it functions here as a grammatical metaphor (Halliday: 1985), referring to a change of mental state. So, in other words we have a relational and mental process element in what is overtly presented as a Material Process. The Actor:Agent of this Process, namely *a vivacious psuedonymous professional lady* appears at the end of the clause, since the clause is passive. The delayed appearance of this nominal group in an Agentive Adjunct is not without motive. In the first place, it is in step with the temporal shift in the story, where we first encounter Mr Chalfont; we view him and with him the various stages of the story through which we finally arrive at the psuedonymous professional lady known as Amy. The second aspect of the significance of this delayed introduction of the vivacious psuedonymous professional lady will be noted when we move to the textual function.

The first Adjunct of the clause *Ironically* is an Attitudinal one; it is the Interpersonal Theme of the clause and as such we suggest that it encapsulates the whole story: it is the surrounding irony of telling stories like this, the conspiracy set up between the writer and the reader to see the whole story in a certain light.

The nominal group *The sprightly Mr Chalfont* is Subject of the clause, and as such it is the rhetorical nub of the clause as a unit in the speech exchange system. He is crucially involved in the 'overpowering' game: his being overpowered is to the point. As we move to the verbal group, we note the Modal *may*. You might feel that the insertion of the Modal is artificial, and so it is, perhaps — but we feel that Greene's story as a whole is ambiguous in its modality. *May* seems to be indicative of a 'possibility', but again, it depends on the tone in which you read our sentence. The Epithets *psuedonymous professional* contain an evaluative element, insofar as they are only euphemisms. The very fact of anonymity in the naming procedure here, and formality in the naming of Mr Chalfont seems to be significant. 'Sprightly' is just a plain adjective but it's also a highly evaluative adjective. Sprightly, some people would say, is just rapid, lively, with young movements, but it has overtones for many people, perhaps most, of covering up something: compensating for something: being sprightly in compensation for something else. A lot of characterization of Mr Chalfont is contained in that evaluative Epithet.

We were not unanimous about what the tone of the clause would be, — perhaps *ironically* would be said on a Tone 4 (Halliday: 1976) — but the point that is important to our argument is its status as an Interpersonal Theme. When we look more closely at the Textual function in this clause, there are some other interesting points to note. First, the clause has a Compound Theme made up of the Interpersonal Theme *Ironically* and the Topical Theme *the sprightly Mr Chalfont*. The rest of the clause has the function of Rheme. From the point of view of Information Focus, while Ironically is probably New, having a full Tone group to itself, *the sprightly Mr Chalfont* will be part of the realization of Given in a structure Given-New, where the element New is realized by our prepositional phrase *by a vivacious psuedonymous professional lady*. So, the delayed appearance of this prepositional phrase is perfectly well-suited to the semantic characterization of the Graham Greene story.

Now this may seem a thoroughly disreputable sort of demonstration of a relationship between the microstructure of a sentence and the macrostructure of a narrative. However, it helped, we felt, to clarify the relations between linguistic and narrative structures. The Narrative Structure which we analysed and discussed at some length is a projection of transitivity onto larger narrative forms: it has to do precisely with "process-participant relations". Plot has to do with causality as reflected in the passive "by" construction and frequently — as in detective stories — involves the shifting of the "agent" to a final position in sequence. Fable is carried in "past historic" or "historic present" tenses and in temporal adjuncts carrying events along in or relating them to a chronological base. Setting, carried largely by place adjuncts in the sentence, provides a grid of mainly fixed orientation points for the process-participant relations. Character delineates agent, goal, beneficiary, and other characterological functions of participants, often modified and "characterised" by class-labels and epithets as well as by their roles in relation to the processes. Point of view is a complex term subsuming both narrative position vis-a-vis the plot, i.e., modality proper, theme and voice, attitudinal modifiers, adjuncts, etc.

Our "fictional" sentence thus models Graham Greene's story by making Mr Chalfont Subject, Goal and Topic Theme of the process of "overpowering", with

Amy as Agent in an Adjunct group within the Rheme. She is informationally "new" to his "given". The process itself is overtly a material one involving a change of state with a receptive component, but this transforms metaphorically into a mental process. The temporal auxiliary "have" and temporal adjunct "after the Jubilee" position the Fable, while causal elements and setting are not realized here as in the story. Point of view is carried at clause rank by "Ironically" and the modal "may", while at nominal group rank it is apparent in the formal naming of "Mr Chalfont" with the evaluative "sprightly" and the anonymous naming of "a lady" with an evaluative "vivacious", an ironic "pseudonymous", and a euphemistic "professional" — all crucial aspects of the story's irony.

This exercise in modelling illustrates two main arguments our group would want to conclude with: one is the continuity of discourses in structural terms and most seriously, and most refreshingly for all of us in the group, the sense that a layered approach such as Jim Martin advocates in his paper, allows for the assignment of any item to a specific layer. It allows for a motivated and explicit account of the relevance of micro elements in the text to the macro purposes of the discourse. Of course in literature we have an advantage in having a sense that there is a macro purpose to start with and in fact that we re read, as well as read, in being able to read back from our ultimate interpretations. A defining feature of the literary text appears to be the degree to which the relations between the layers are foregrounded and projected into syntax in narrative genres and phonology in poetry. But further than that, as well as having motivated assignment of elements to categories, the virtues of applying this sort of version of Michael Halliday's functional model of language to a functional model of narrative, is that it allows for shuttling not only from the micro to the macro, but shuttling across the layers. Just as process participant relations and theme/rheme structure relate across the passive, just as modality and modulation relate across the modal verbs, there are all kinds of elements in narrative which are polysemic but where you can pin down their polysemy in functional terms. 'Sprightly' is a mere experiential label, perhaps expressing youth and liveliness, but in this context, in the context of the irony, in the context of the passivity of Mr Chalfont, in the context of his age, it has an interpersonal function. It is part of the point of view of the whole narrative and this point of view and modality is absolutely crucial to an interpretation of this story.

We would argue, then, for more exploration of a multi layered approach as offering the possibility of motivated, articulated and explicit shuttling between levels and layers. The recognition of these interacting layers in sentence structure helps us to avoid the over simplification of a conventional paraphrase and points to the far richer complexities and ambiguities at play between the linguistic, rhetorical and structural layers of the whole literary text.

Each of the four groups at the Workshop on Discourse Analysis have thrown light on each other's assumptions and modes of analysis. The discussions of Expository Discourse have illuminated for us the role and manner of factual exposition in narrative. The group working on Classroom Discourse have revealed quite starkly the "power games" which operate between interlocutors of unequal status; in Jubilee we have the additional dimension of a shift in status in mid dialogue. Without the fine detail spelled out by the Casual Conversation group, the dynamics of the long exchange between Mr Chalfont and Amy would

be far less clear. I hope the work of the Narrative Discourse group has helped to clarify how far all discourses are defined as much by our universal "narrative competence", our sense of proper beginnings, turning-points and endings, as by our linguistic "meaning potential".

BIBLIOGRAPHY

1. M M Bakhtin: Rabelais and his World. (Tr Helene Iswolsky). MIT. 1968.
2. P Berger & T Luckman: The Social Construction of Reality: a treatise in the Sociology of Knowledge. Penguin. 1967.
3. D Burton: Dialogue and Discourse. Routledge & Kegan Paul. 1980.
4. C Cloran: The Role of Language in Negotiating New Contexts. B. A. (Hons) thesis, submitted to Macquarie University. Unpublished. 1982.
5. G Crewes: Cohesion in Student Writing of Exposition: M. A. thesis, submitted to Sydney University. Unpublished. 1980.
6. P Fries: On the status of theme in English. In Micro and Macro Connexity of Texts. J Petofi & E Sozer (eds). Helmut Buske. 1983.
7. M Gregory & K Malcolm: Generic situation and discourse phase: an approach to the analysis of children's talk. mimeo. 1981.
8. M A K Halliday: Learning How to Mean: Explorations in the Development of Language. Edward Arnold. 1975.
9. M A K Halliday: System and Function in Language: Selected papers edited by Gunther Kress. OUP. 1976.
10. M A K Halliday: An Introduction to Functional Grammar. Edward Arnold. (1985).
11. M A K Halliday & R Hasan: Cohesion in English. Longmans. 1976.
12. M A K Halliday & R Hasan: Text and Context: Aspects of Language in a social semiotic perspective. Sophia Linguistica VI. Sophia University Press. 1980.
13. R Hasan: Text in the systemic-function model. In Current Trends in Text Linguistics, W U Dressler (ed). de Gruyter. 1978.
14. R Hasan: On the notion of text. In Text vs Sentence: Basic questions of Text linguistics. J S Petofi (ed). Helmut Buske. 1979.
15. R Hasan: Coherence and cohesive harmony. In Understanding Reading Comprehension. J Flood (ed). IRA. 1984.
16. R Hasan: Situation and the definition of genre. Perspectives on Discourse: multidisciplinary study of a naturally occurring conversation. A D Grimshaw (ed). Ablex. (in press).
17. G R Kress & R Hodge: Language as Ideology. Routledge & Kegan Paul. 1979.
18. J Lemke: Classroom Communication of Science. Final Report NSF/Rise: SEDK 79-18961. Unpublished. 1983.
19. K Malcolm: Communication linguistics: a sample analysis. In Systemic Perspectives on Discourse: Selected theoretical papers from the IXth International Systemic Workshop. J D Benson & W S Greaves (eds). Ablex. (in press).
20. J R Martin: Conjunction: the logic of English text. In Micro and Macro Connexity of Texts. J S Petofi and E Sozer (eds). Helmut Buske. 1983.

21. J R Martin: Language, register and genre. In Children Writing: Reader. Deakin University Press (ECT418 Language Studies). 1984.

22. J R Martin: Process and text: two aspects of human semiosis. In Systemic Perspectives on Discourse: Selected theoretical papers from the IXth International Systemic Workshop. J D Benson & W S Greaves (eds). Ablex. (in press).

23. J R Martin & J Rothery: Writing Project: Report 1. Department of Linguistics, Sydney University. mimeo. 1980.

24. J R Martin & J Rothery: Writing Project: Report 2. Department of Linguistics, Sydney University. mimeo. 1981.

25. L M O'Toole: Narrative structure and living texture: Joyce's Two Gallants. PTL. 1976.

26. L M O'Toole: Structure, Style and Interpretation in the Russian Short Story. Yale University Press. 1982.

27. P N Peters: Strategies for Student Writers. Wiley. (in press).

28. J McH Sinclair & M Coulthard: Towards an Analysis of Discourse: the English Used by Teachers and Pupils. O U P. 1975.

29. J McH Sinclair: The integration of language and literature in the English curriculum. In Literary Text and Language Study. R Carter & D Burton (eds). Edward Arnold. 1982.

30. J McH Sinclair: On the integration of linguistic description. mimeo. n.d.

31. J McH Sinclair: Planes of discourse. mimeo. 1981.

32. J McH Sinclair & D Brazil: Teacher Talk. O U P. 1982.

33. C V Taylor: Structure and theme in printed school texts. Text 3.2. 1983.

34. E M Ventola: The structure of casual conversation. Journal of Pragmatics 3. 1979.

NOTES